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ABSTRACT

Quality improvement, or Total Quality Management (TQM), has been used for years in the corporate world to help companies achieve better customer satisfaction, increase market share, and improve profitability. More recently, TQM has emerged as a promising strategy for school improvement and educational reform. In 1991, the school district of Pinellas County, Florida, adopted a quality-management philosophy in response to Florida's Blueprint 2000 education-reform initiative, which began the shift from top-down to site-based management. The county also established the Quality Academy, a partnership linking the district with various community partners. This publication outlines the Pinellas three-step change process. Section 1 discusses why the district is committed to the transformation to a quality culture. The following three sections describe awareness, alignment, and refinement/improvement, which are the three stages in the district's change process. Each section includes relevant examples of best practices at selected school sites. Section 5 provides examples of Baldrige-based integrated system components that have been implemented or are in the process of being implemented. The sixth section outlines the seven areas of the Baldrige criteria and discusses their application. It also describes the Superintendent's Quality Challenge, an organizational self-assessment and recognition process using the Malcolm Baldrige National Quality Award criteria, and provides an example of a hypothetical school that meets the Baldrige criteria. Appendices contain a copy of the Superintendent's Quality Challenge questionnaire, a sample quality continuum, and quality challenge criteria. The handbook includes charts, worksheets, a glossary, and ordering information for this and other SouthEastern Regional Vision for Education (SERVE) publications. (Contains 80 references.) (LMI)

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Going to Scale WITH TQM

The Pinellas County Schools' Journey Toward Quality

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How to Use the Malcolm Baldrige Framework and the Superintendent's Quality Challenge to Lead Continual School Improvement

SERVE
SouthEastern Regional Vision for Education

Going to Scale with TQM

The Pinellas County Schools' Journey Toward Quality

by

Jim Shipley
and
Chris Collins

SERVE
SouthEastern Regional Vision for Education

Associated with the School of Education, University of North Carolina at Greensboro

The content of this publication does not necessarily reflect the views or policies of the Office of Educational Research and Improvement, U.S. Department of Education, nor does mention of trade names, commercial products, or organizations imply endorsement by the U.S. Government.

This publication is provided by SERVE to help inform persons interested in implementing a TQM process. The approach being used in Pinellas County in Florida is outstanding. However, it is one of many approaches. Therefore, SERVE encourages readers to investigate other approaches prior to selecting the application that best serves each individual preference or need. A bibliography has been included by SERVE for your consideration with references to K-12, higher education, and vocational technical education.

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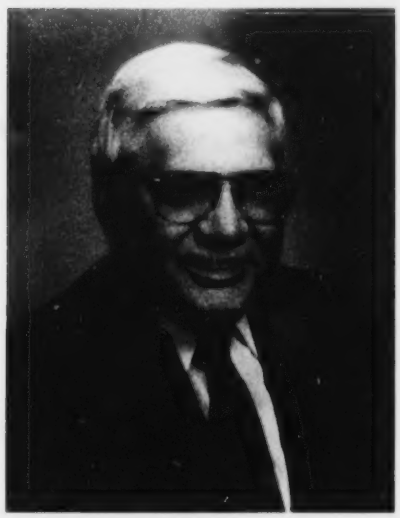
The Quality Academy: Pinellas County Schools

The Quality Academy of Pinellas County promotes an understanding of quality, the global economy, and educational reform. The Academy has received national attention and has become a dynamic force for change and school improvement within Pinellas County, Florida, and the nation. In May of 1993, Pinellas County Schools was presented the prestigious Governor's Inaugural Sterling Quality Award.

The Quality Academy is an innovative partnership linking the school district with community partners from areas such as business, industry, and healthcare. The Academy focuses all available resources to facilitate the quality transformation in 144 school sites as well as all district-level administration and supporting services.



Jim Shipley

Jim Shipley, an educator with over twenty years of administrative experience, serves as Executive Director of the Quality Academy. He is responsible for the implementation of Total Quality Management at all school sites as well as all district-level administration and supporting services. As the chairman of the District Quality Council, Jim coordinates the strategic effort necessary to transform a school system of over 103,000 students and 16,000 employees. Jim is a frequent speaker at national conferences and consults with educational leaders and school districts from around the world.

Jim served as 1993 Florida Sterling Quality Examiner and as a 1994, 1995, and 1996 Senior Examiner for the Sterling Award. He was appointed to the 1994, 1995, and 1996 National Board of Examiners for the Malcolm Baldrige Quality Award. In 1996,

he was appointed as a Senior Examiner for the Malcolm Baldrige Award. Jim continues to assist in the ongoing development and adaptation of the Baldrige Criteria to Education.

Jim is a past president of the Pinellas Administrators' Association and is an active member of the American Association of School Administrators, Phi Delta Kappa, the Tampa Bay Total Quality Management Network, Inc., the American Society for Control, and the Tampa Bay Deming Study Group.

Christine Collins

Chris Collins is a former Evaluation Specialist with the Department of Educational Accountability. Chris is now a full-time Quality Facilitator with the Quality Academy of Pinellas County Schools. As district quality facilitator, Chris is a leader in the development and implementation of quality initiatives throughout the school district. She is a veteran elementary school teacher with a master's degree in statistics and measurement. Chris combines years of experience in the classroom with an impressive knowledge of national quality initiatives. She has shared her experiences in quality initiatives at many national conferences and consults with school districts across the country.

She is Coordinator of the Tampa Bay Deming Study Group, former Vice Chairman of the Tampa Bay Total Quality Network, Inc., and a member of the Board of Directors for the Tampa Chapter of the Association for Quality and Participation.

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About the SERVE Organization

SERVE, the SouthEastern Regional Vision for Education, is a consortium of educational organizations whose mission is to promote and support the continuous improvement of educational opportunities for all learners in the Southeast. Formed by a coalition of business leaders, governors, policymakers, and educators seeking systemic, lasting improvement in education, the organization is governed and guided by a Board of Directors that includes the chief state school officers, governors, and legislative representatives from Alabama, Florida, Georgia, Mississippi, North Carolina, and South Carolina. Committed to creating a shared vision of the future of education in the Southeast, the consortium impacts educational change by addressing critical educational issues in the region, acting as a catalyst for positive change, and serving as a resource to individuals and groups striving for comprehensive school improvement.

SERVE's core component is a regional educational laboratory funded since 1990 by the Office of Educational Research and Improvement (OERI). Building from this core, SERVE has developed a system of programs and initiatives that provides a spectrum of resources, services, and products for responding effectively to national, regional, state, and local needs. SERVE is a dynamic force, transforming national education reform strategies into progressive policies and viable initiatives at all levels. SERVE Laboratory programs and key activities are centered around:

- Applying research and development related to improving teaching, learning and organizational management
- Serving the educational needs of young children and their families more effectively
- Providing field and information services to promote and assist local implementation of research-based practices and programs
- Offering policy services, information, and assistance to decision makers concerned with developing pogressive educational policy

- Connecting educators to a regional computerized communication system, so that they may search for and share information, and network

- Developing and disseminating publications and products designed to give educators practical information and the latest research on common issues and problems

The Eisenhower Mathematics and Science Consortium at SERVE is part of the national infrastructure for the improvement of mathematics and science education sponsored by OERI. The consortium coordinates resources, disseminates exemplary instructional materials, and provides technical assistance for implementing teaching methods and assessment tools.

The SouthEast and Islands Regional Technology in Education Consortium (SEIR◆TEC) serves 14 states and territories. A seven-member partnership led by SERVE, the consortium offers a variety of services to foster the infusion of technology into K-12 classrooms. The Region IV Comprehensive Assistance Center provides a coordinated, comprehensive approach to technical assistance through its partnership with SERVE.

A set of special purpose institutes completes the system of SERVE resources. These institutes provide education stakeholders extended site-based access to high quality professional development programs, evaluation and assessment services, training and policy development to improve school safety, and subject area or project-specific planning and implementation assistance to support clients' school improvement goals.

Following the distributive approach to responding and providing services to its customers, SERVE has ten offices in the region. **The North Carolina office at the University of North Carolina at Greensboro is headquarters for the Laboratory's executive services and operations.** Policy offices are located in the departments of education in Alabama, Florida, Georgia, Mississippi, North Carolina, and South Carolina.

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Roy H. Forbes, Ed.D.
Executive Director

The Pinellas County School District

Vision
Pinellas County Schools unites with the community to provide a quality education enabling each student to succeed.

Mission
The mission of Pinellas County Schools is to create systems that align all resources to assure that each student achieves at her or his highest level.

"The Superintendent's Quality Challenge is specifically designed to recognize and promote excellence in achieving the total quality concept in the education of students in Pinellas County. Quality will provide the basis to achieve the vision of Blueprint 2000 and continually improve the quality of our community."

J. Howard Hinesley, Ed.D.
Superintendent

Size
Seventh of 67 in Florida and 23rd of more than 16,000 districts in the United States.

Accreditation
All Pinellas County high schools and postsecondary centers, as well as Sixteenth Street Middle, are members of and accredited by the Southern Association of Colleges and Schools.

Graduates
4,140 seniors completed the senior survey in May 1995. Of these, 493 qualified for the Florida Undergraduate Scholar's Fund, earning scholarships with an estimated value of more than $34 million.

- Twelve graduates received appointments to United States service academies in 1995.

- The International Baccalaureate program at St. Petersburg High School issued 81 diplomas in 1995.

- Thirty-two 1995 graduates were named National Merit Scholars.

Average Teacher-Pupil Ratio
Kindergarten-grade 3, 1:23; intermediate (4 & 5), 1:28; middle school, 1:28; and high school, 1:27.

Student Population
76.11% White, 18.49% Black, 2.58% Asian, 2.69% Hispanic, and .13% other.

Transportation
A fleet of 624 buses is maintained. Of those, 527 transport 42,000 students 51,000 miles daily. One-fourth of these students are transported for desegregation purposes. The district follows a federal court order on desegregation. In certain areas of the county, a two-year rotation system of white elementary satellites is instituted. Including field trips, athletic events, and summer school, the total annual mileage for the buses exceeds 12 million.

Food Services
In 1994-95, food services prepared and served 11,219,386 lunches and 1,672,684 breakfasts. A la carte meal service averaged 10,854 daily.

Average Expenditure Per Student
$4,600 (includes all programs).

Acknowledgments

We wish to recognize the following for their continued partnership in the work of the Quality Academy:

The Pinellas County School Board and Staff of Pinellas County Schools
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Foreword

by Jim Shipley

Quality improvement, or total quality management (TQM), has been used successfully for years in the corporate world to help companies achieve better customer satisfaction, increase market share, and improve profitability. More recently, TQM has emerged as a promising strategy for school improvement and educational reform.

Going to Scale

It's not mere replication of models we're after; it's replication on the needed scale, and that means systems change. If we are to provide truly responsive, truly effective services for much larger numbers, we must go from moving models to moving mountains.

Lisbeth Schorr

How can America's educational system be transformed into an effective, efficient, continually improving system? What transformational strategy will work successfully in a rural school district of 150 students, a small town school district of 14,000 students, or a multicultural metropolitan school district of 100,000 students? Over the years many innovative ideas have come and gone, unable to adapt to the diversity of educational systems. Finally, TQM has emerged as a strategy that promises the capacity to **go to scale**—to be successful, transportable, and equally effective wherever it is used. "Going to Scale" is a frequently used but not yet well-defined term in the educational arena. For the purposes of this document, going to scale means progressively implementing delivery strategies that reflect the principles of a TQM system in every part of a district where they are needed.

In 1991, the school district of Pinellas County, Florida adopted a quality management philosophy in response to Florida's Blueprint 2000 education reform initiative, which

Note: *The Baldrige Award criteria are fully explained in Section VI of this document.*

began the shift from top down to site-based management in Florida's school system. The goal is to transform the school district into a high performing, learning organization through the use of the principles of quality. To accomplish this goal, the Quality Academy was established to facilitate the transformation process.

The planning team for Pinellas County Schools adopted the Malcolm Baldrige National Quality Award criteria because they felt it offered educators an integrated system of quality improvement for implementation at the school, department and district level. Jim Shipley, Executive Director of the Quality Academy and a Florida Governors Senior Sterling Award Examiner and Malcolm Baldrige Examiner, oversaw the task of modifying 1994 Baldrige criteria to best fit the school system. The "Superintendents Quality Challenge," an outgrowth of this effort, was created to challenge Pinellas County schools and departments to build quality systems.

The Quality Academy is the driving force in the Pinellas County Schools' ambitious, systemic and community-wide school improvement initiative. The quality mission is to transform the school district into student-centered, collaboratively managed, high-performing schools, whose intrinsically motivated students meet and exceed the 21st century standards for academic achievement and excellence. There are 3 strategies in service to this overarching purpose:

1. A district infrastructure capable of supporting implementation of Blueprint 2000 key goals, standards, and outcomes.

2. The transformation of the district to a learning organization utilizing the Baldrige criteria for the alignment of systems and as a basis for continual improvement.

3. The creation of community partnerships and a system to continually improve supplier quality of all inputs to the district.

Pinellas has learned through benchmarking other public educational institutions using the principles of quality to improve their schools that the predominant approach has been to apply the principles of quality within the school or district business practices to effect cost savings in business services or to apply the principles of quality to increase classroom teacher's productivity. While on the surface this appears to be a very comprehensive approach, Pinellas has taken quality improvement in public education to the next level.

Pinellas believes that the greatest gains and improvements from the use of the principles of quality will come from the ability of its 103,000 students to apply those principles to directly improve teaching and learning processes. The following strategic initiatives are designed to build an infrastructure that will provide all members (including students) of the organization with the ability to be empowered and skilled in the use of the principles of quality and the related tools. The teaching and learning process requires the active involvement of the student. Students along with the teachers as co-managers of the teaching and learning process, will have the capability of increasing productivity and achievement if both use the latest quality technology in the classroom.

In order to meet these goals, the entire school system work force must focus on community requirements, adopt a set of beliefs about what is effective in schools, develop the skills to put those beliefs into practice, align systems, and study and continually improve on the processes used in these programs. In order for this ambitious set of tasks to be accomplished, a vastly increased capacity for training, self-study, data collection, planning, analysis, and research-based action is required.

In this document, we will outline the transformation strategies in the Pinellas three-step process to transform all the schools in the district. In Section I, we learn, through an understandable train-to-plane analogy, why Pinellas is committed to the transformation to a quality culture. The following three sections describe awareness, alignment, refinement and improvement, the three stages Pinellas uses in facilitating administrators, teachers, and community members in transforming the culture. Each of these sections include relevant examples of best practices at selected Pinellas school sites. Section V gives examples of Baldrige-based integrated system components that have been implemented or are in the process of implementation such as school and classroom evaluation and district decision making.

Section VI outlines the seven areas of the Baldrige criteria and discusses their application. The Superintendents Quality Challenge, an organizational self-assessment and recognition process using the Baldrige criteria, initiated by Superintendent Howard Hinesley and the Pinellas School Board, is also described. The final section provides insights into a quality culture through an example of a hypothetical school which meets the Baldrige criteria.

Section I

Introduction
Understanding the Transformation to Quality Culture

Lessons Learned

- **Do** study change management theory and prepare the organization and individuals for the dynamics of the change process.
- **Don't** try to sell (or convince) those who are resisting the transformation. Utilize all available energy and resources to work with individuals, schools, and departments who are receptive to the change. Target those who have begun the process with related initiatives like site-based decision making, team structure, and other cooperative management approaches.
- **Do** identify early wins or successful components to celebrate success. Recognize those contributing to the transformation and provide examples and models for others.
- **Don't** represent the transformation as a quick fix or "silver bullet." Be up front with a time frame of five to ten years and stress the difficulty that is involved in the change.
- **Do** use new knowledge as the basis to readdress existing vision or mission statements or to create vision and mission statements.
- **Do** communicate the new vision and mission to all members of the organization. Constancy of purpose for the organization must be realized for a successful transformation.

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- **Don't** start without a complete plan that includes proven strategies and commitment from and involvement from senior leadership.

- **Do** identify a relentless champion to lead the transformation. The champion must be accountable only to senior leadership and not part of any department that has a high stake in the transformation. This is essential to provide an unbiased and objective approach to the change process.

- **Don't** start the transformation alone. Involve leadership from employee organizations, parent groups, the community, business partners, and school board members. All must be involved from the beginning.

- **Do** initiate the transformation at the district level. The district level is the smallest unit in which cultural change can be achieved.

The educational system has been blamed for the nation's inability to compete in the global marketplace. Since the 1980s, educational reform has been the outcry at every political level. In 1991 the SCANS (the Secretary's Commission on Achieving Necessary Skills) Report for America 2000 gave the educational community a more complete set of customer expectations than has ever been provided to educators. The remarkable thing about The SCANS Report is that the study was done by the Department of Labor and not by the Department of Education. It provided what now are recognized as valid customer expectations. The SCANS Report validates what we know about systems theory. If we are operating within a closed system that is not designed for continual improvement, then we are unable as a system to rearrange, reconnect, and realign our system to adjust to new customer expectations. The system of education that exists in the U. S. is a closed system. Our existing educational system has operated within one frame of reference for nearly 100 years. Our knowledge of systems theory and quality principles helps us recognize that system transformation is needed.

To better explain the fundamental changes that are required within the transformation, an analogy can be used. When our system of education was first established, it was at the beginning of the Industrial Age. As families moved into towns from the farms, a new kind of school system was required. There were too many students to

house in traditional one room school houses. The model that was followed took its form from the prevalent model of the day, the factory. Known as the Taylor Model, this industrial state-of-the-art method of management even went so far as to give ratios for the proper number of workers and bosses. The current best thinking of the day was that for every five to seven workers a boss was needed to keep control of the workers. The schools were set up in the same way and even had bells to indicate when a shift or lesson was over. Students were moved about in much the same way as a factory assembly line. In this analogy, we refer to this delivery system of education at the turn of the century as the "train system," which was the best-practices transportation system of its day.

The educational "train system" is currently delivering more passengers than it ever has before. Its trains are faster, shinier, and more streamlined. It has the best trained conductors and engineers that have ever been used. Whenever a new route or function must be provided, another car and stop is added. The train has more cars than it has ever had before. It runs like clockwork, never misses a stop, and has had a reliable track record for almost a century. It is, without question, the best train system that has ever existed.

Unfortunately, the train system operates as a closed system. In the train system, like the old system of the unconscious incompetent, there is no mechanism for continual improvement; consequently customer requirements in the train system are frequently an afterthought. The customer gets what the customer gets, *like it or not.*

BUT—The SCANS Report, our valid customer expectations, tells us that we can no longer operate as a train system. We must begin to

Transformation

Train-to-Plane

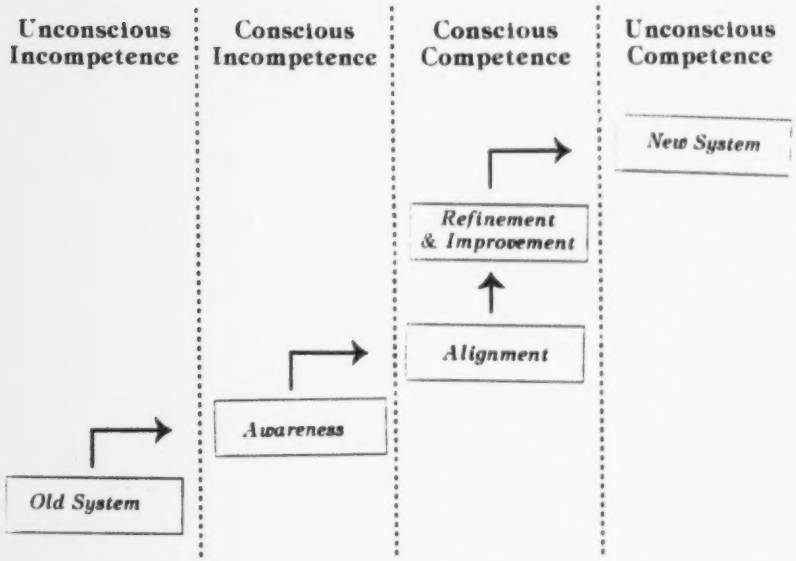
think of education within a more current framework or paradigm. We must perceive the educational delivery system as a plane system or an airport.

The mental images are easy enough, but what is the relationship of this analogy to educational transformation? How does a system of delivery such as the train system become a plane system? More importantly, how does a school district successfully switch systems? It cannot simply send its passengers—students—home for a few years while it rebuilds its routes and terminals, retrains its workers and leaders, and rethinks its aim. Somehow it must retool while still delivering nonstop, uninterrupted service to customers. Some have likened this task to changing a tire while the car is still moving. The diagram of the train-to-plane shows the steps from train-to-plane as a series of confused, partially transformed vehicles. There will be old-system and new-system functions operating at the same time. Workers and customers alike will experience both cultures simultaneously. In the train-to-plane diagram, we see trains that are beginning to have some airplane characteristics. A wing and jet engines are developing, but still the train tracks remain. In a transforming system, schools will see and feel the incongruent nature of two systems exerting their influence at once. We will see evidence of decisions made and operating in both systems within the same school district, school, leader, committee, or individual.

During these transformational stages, workers in the train system will react to the change process in many different ways. Some will stay steadfastly in their train seats, buckled in. Some will refuse to look out the windows. Some may even pull the shades down so that changes on the tracks below cannot be seen. Very often these reluctant passengers are the most successful leaders in the train system who really can't understand what all the fuss is about. The system has quite obviously worked exceedingly well for them, so why should anyone want to change the rules of the game? These workers are operating in denial and will be very slow to leave the security of the old system. At the same time, many passengers will be running out of the train, heading straight for the airport, and will be insisting that someone just shut down the train system once and for all, close the doors, and be done with it. These folks will have a great intolerance for the amount of time needed to build the new system. Most people will be somewhere in between.

The two systems represent systems with different cultural norms. During the transformation, the two transportation systems will offer workers and passengers different products related to such things as speed, distance, and comfort. Just as a frequent airline passenger is not apt to settle for the pace of a train, students, teachers, and the public can be expected to become less tolerant of educational systems that are not closely aligned with their 21st century needs.

Steps of Organizational Transformation



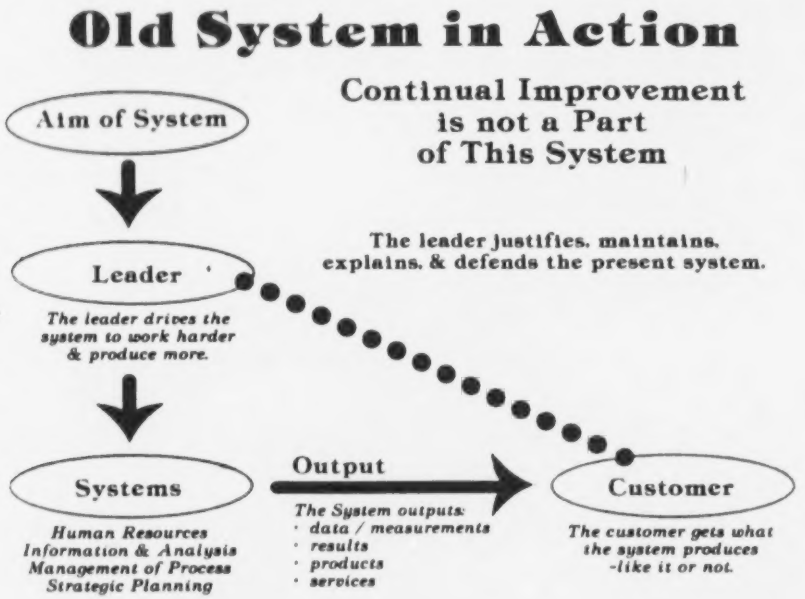
Another phenomenon of the transformation process is that groups or individuals who step off of the train and begin to consciously operate within a culture of quality try to become a pilot, an airport, or a navigator, will consistently jump back on the train at the first sign of difficulty or problem. It is our nature to return to the familiarity of the tried and true when we are under stress. Gradually, though, the regression is less and less and fewer times of crisis will warrant retreat.

Most experts agree that this combination, or mutant stage, will last from five-to-ten years. It is reassuring to remind ourselves that it is a natural part of the transformation.

What can we learn from this analogy? It is vital that leaders of the educational transformation understand the change process and anticipate its natural stages. Everyone in the transformation process needs to be made aware of the dynamics of a changing organization. The inherent characteristics of such fundamental cultural change is hard enough even when everyone has been forewarned. It is essential that the leader of the transformation is skilled and knowledgeable in managing the change process.

Essential to systemic change is a clear translation of what the new system will look like. Leaders should clearly communicate the characteristics of the new system and help the organization sort and distinguish between what belongs in each system. It is very important in the alignment and transitional stages that efforts are not wasted building new and improved train trestles or railroad tracks. Many train tracks will have to stay in place for as long as it takes to replace them with tarmac. Everyone will need to understand that creating the parts of the new system will take time, but leaders must avoid using resources to add anything to an old system that is ultimately going to be dismantled. This is a powerful strategy in the alignment phase. Skills must be developed to allow all members of the organization to differentiate between the old and the new components.

In many cases the differences between the old and new will be more subtle, and slight changes or adjustments are all that will be needed. For example, both transportation systems need some sort of scheduling, ticketing, and baggage processes. These will need only slight adjustment. Training needs for converting from engineers and conductors to pilots and navigators may represent a train trestle issue. It would be a waste of resources for a school district in the transformation to do a year-long redesign


Old System in Action
Aim of System
Continual Improvement is not a Part of This System
Leader
The leader justifies, maintains, explains, & defends the present system.
The leader drives the system to work harder & produce more.
Systems
Output
Customer
Human Resources
Information & Analysis
Management of Process
Strategic Planning
The System outputs:
· data / measurements
· results
· products
· services
The customer gets what the system produces -like it or not.
The system produces what it can.

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of a training for prospective principals if it continued to emphasize the acquisition of skills from the old system. This is a critical concept of the alignment phase.

To evolve into customer-focused, continually improving, learning organizations, a systemic approach to the transformation of old system components into the new system must be one that is continually improving and aligning its service for the customer. Currently, all organizations—whether government, business, healthcare, industry, or education—are burdened with bureaucratic policies and procedures that seem aimed at the protection and maintenance of the old system. The old system is composed of components necessary to carry out important functions such as strategic planning, human resources, process management, and information systems. These functions are vital parts of an overall system that produces a given product or service. Theoretically, in a high performing system, these basic components should be coordinated, aligned, and carefully integrated to assure that the aim of the system is achieved. In the old system, however, this is rarely the case. They should support the aim of the organization, but do they?

To answer this, visualize the total organizational structure as a dynamic, working machine with an internal power source or engine that keeps it going in a routine predictable manner. In many cases the mechanism—the working parts of the organization—seems to have taken on a life of its own, quite separate from the original intent. For example, the school records and data processing department, originally charged with collecting useful data, may, over time, produce miles of printouts with questionable value. Data continues to be collected and reported to the customer whether it is needed or not. The requirements, once established, remain constant. We initiate processes but seldom curtail or revise them to meet customer requirements. Unfortunately, the customer is often merely the recipient of the machine's by-products, an organizational afterthought. The customer gets what the system produces, regardless of its desirability or value.

Often the direction of the customer/supplier relationship becomes reversed. An individual car dealer may begin to focus all of its efforts on sales figures in an effort to please corporate management. In doing this they may show little or no concern for the long-term relationships based on customer service. Future return business ultimately suffers. Educators face a similar reversal when a school begins to focus on meeting state or district quotas for graduation rates, standardized test scores, or credit requirements with little regard for the long-term impact it may have on the student. Consider the likely result of a local newspaper's policy to report high school SAT scores by school. An individual high school might discourage lower and average

achieving students from taking the SAT in order to have a higher reported school average in the newspaper. Once again, a reversal has taken place.

In the old system, individual components of the system over time have begun to operate as independent entities. As time passes, the original purpose of the component often becomes blurred and eventually the component begins to be self-perpetuating, disconnected, and poorly aligned to the system as a whole. Leaders in organizations operating this way work very hard to do their part to maintain, justify, explain, or defend the existing system. The leader knows that the organizational machine was designed to provide a product or service, and that there is or was an aim. Typically, though, the machine has begun to develop its own internal reasons for being, and clear relationships of individual components to the original purpose of the organization may have become clouded.

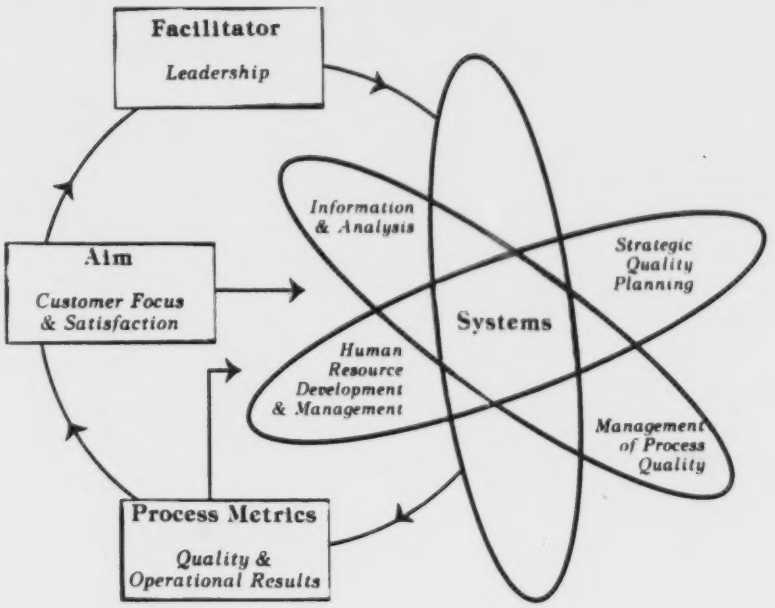
In the old system, there is a loosely defined relationship between the customer and the leader. This poorly defined connection is used primarily by the customer to complain or to question the leader about the appropriateness of the output of the system. Leaders in this mode view their relationship with the customer as an annoyance and seldom work to strengthen communication channels. There are often clear advantages to the leader who can avoid the customer altogether. If the leader does try to intervene on behalf of a customer and improve the output of the system, efforts are made to force or pressure the system's machine-like processes to go faster, work harder, and produce more. Unfortunately the organizational machine continues to produce whatever it can, given the current process constraints it operates within. A determined leader may then resort to rewards or punishments based on numerical quotas in an effort to exert power over the machine-like structures of the organization. These efforts are received with characteristic dissolution by workers. As Dr. Deming was fond of saying, "If you could simply increase production by 5% by requesting it, why weren't you doing it already? Were you just lazy?" Clearly, workers are not simply lazy, and mandating improvement does nothing without a systemic change that builds the capacity of the system to improve its output.

We can all remember a time when we have been caught as customers in an organization such as this. We may remember crashing headlong into the healthcare machine as we tried to admit a loved one for emergency care, or sending our seventh set of forms to the insurance company for reimbursement on a claim, or trying to rearrange our college class schedule to meet credit requirements. As customers, when we question the appropriateness of a system to meet our needs, we are often met by a polished professional who has made a career of defending, explaining, justifying, and, at all costs, maintaining the existing system over which she or he presides.

This is the OLD SYSTEM in action. This is the system continual improvement seeks to transform. In organizations such as these, there is no systemic mechanism for continual improvement. Consequently, change is also not a part of this system. Change, if it occurs, is slow and incomplete because it is usually mandated, frequently resented, and often defiantly incorporated. Change is seen as a system problem, not a solution. It is easy to see why organizations that operate in this fashion are ill-equipped to face the demands of the 21st century where success is likely to be measured in organizational response time, flexibility, and the ability to continually learn and improve.

How does the old system compare to one in which continual improvement has been imbedded? What are the hallmarks of the transformed system? It is imperative that a clear vision of this new system of continual improvement be recognized. How else can a route be planned that will take us there?

Organizational Architecture for Quality



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Awareness

Lessons Learned

- Do emphasize training to gain the new knowledge necessary for transition from the unconscious incompetence stage to the conscious competence stage.
- Don't over-promise results from the training. Transformation takes a long time and initial improvements are slow and not apparent.
- Do network those who are actively engaged in the transformation. There must be a forum to celebrate successes, collaborate on strategies, and share information.
- Don't underestimate the need for senior leadership to visibly and actively be involved in signaling commitment to the transformation. This commitment cannot be words alone, but those within the organization must see action from senior leadership that is consistent with the new direction.
- Do develop a strong understanding of customer focus as it relates to internal and external customers. Meeting customer requirements must become an obsession within the organization.
- Don't give up. The dynamics of the change process and the frustration of those who are at the awareness stage and impatient with the rate of change will create a plateau referred to as "hitting the wall." A collaborative effort will be needed from all leaders to push to the next level.
- Do create alliances within the organization of those who are receptive to the new way of work.
- Don't overlook an "early success" that will serve as an example to use in training.
- Do deploy all new knowledge to the classroom level as a part of the system. Failure to include the classroom and students is analogous to not involving the workers in an industrial setting.

The primary difference between the old and new system is the ability of the system to learn and improve. High performing organizations have the ability to rapidly respond to changing customer requirements in a highly productive manner. To transform to a high performing system, the relationships of the components in the old system must be rearranged to align to customer requirements. The old system has an aim; leaders; system mechanisms such as planning, human resources, information systems, and process management and; and, of course, customers. In the new system we have all of these—we have the same pieces—but they have been rearranged, reconnected, and realigned with one another. They no longer operate as unrelated, isolated functions, but as an orchestrated whole. Unlike the old system, in which the customer is the afterthought, continually improving systems *begin* with the customer.

When the parts of the system are arranged to optimize the whole and the customer's requirements become the constant basis for action, a quality, or *integrated*, system is created. If we follow the connections within an organizational architecture for quality, it progresses something like this:

The aim of the system is to meet the customer's requirements. Determining who the customer is and what product or service of value to the customer the organization can deliver is the first step in creating a system of continual improvement. In the educational arena, identifying the customer and requirements presents a daunting task. Customers are *process specific* and virtually every process has a unique set of both internal and external customers. When the organization has identified its customers and the products or services it will provide, an aim has been established. It then becomes the responsibility of leadership to communicate this aim to the entire organization and to facilitate the capacity of the organizational machine to produce the product or service that the customer requires. Unlike the old system, the leader is charged with creating an organizational machine that is capable of producing what the customer wants. The leader is expected to assure that the system is aligned to customer requirements or that it contributes to obtaining those requirements. Each part of the working system of the organization must exist only for this purpose. All strategic planning is based on meeting customer expectations now and building capacity to meet the customer's changing needs in the future. Information and analysis systems collect and provide data for informed decision making related directly to customer needs and to maintain the integrated system. Data are collected for two purposes only. They have a direct relationship to the product or service that is valued by the customer, or they support processes that indirectly contribute to customer

requirements. While payroll functions would probably not be listed as a customer requirement for education, customer requirements cannot be met unless employees of the organization are paid in a timely, accurate manner. Data collected, to improve the process of managing time sheets and insurance deduction forms, contribute to organizational productivity and support customer requirements.

Human Resources support the aim of the organization by determining specific skills that are needed currently and in the future by employees to meet customer requirements and through the alignment of hiring and training practices with those skills. All processes are managed and assessed in view of their value in meeting or exceeding customer requirements. With every aspect of the organization focused on meeting or exceeding customer expectations, the customer is no longer an organizational afterthought—forced to settle for what he gets, like it or not.

Has a continual quality system been created? Not yet. If the system were to stop here, it would be better aligned with customer needs and requirements, but it would soon fall into the same pattern as our existing organizations whose appropriateness and value to the customer was a phenomenon of the past. In order for continual improvement to be systemically assured, it must be imbedded in the process. Operational results allow the output of the system to be judged directly in relation to their appropriateness to customer requirement; that is, do the system and system components with all their separate functions and processes actually achieve their stated aims? What data or process metrics verify these results? If results do not show that stated customer or process requirements are being met, the system must adjust itself to better meet known requirements. In this way, the organization has a structured expectation and imbedded system for required improvements.

So, have we now created a high-performing system capable of learning and improving? Not quite. We have incorporated a mechanism for change that will assure that our system actually produces what the customer has said is required. But there is one last connection or linkage that is vital for the kind of learning organizations we are striving to create. After all the parts of the organization are aligned with known customer requirements and are actively engaged in producing the required product or service, improvements could go on infinitely, the product and service could become more and more refined, and still long term quality would not be achieved. Note that as the cycle for organizational quality is completed, we return full circle to customer focus and satisfaction.

The last linkage that reconnects the organization to the current customer is perhaps the most important because it forms the foundation for the organization's future and assures the dynamics of continual learning. It is essential that systemic processes are created to determine what the customer currently expects and will expect from the organization tomorrow. With every iteration, the organization must realign its aim and subsequent internal system machinery with the most current knowledge of the customer and his changing needs. It is interesting to note that the customer is often the last to know or express what is needed in the future. This places a premium on applied research related to technological developments, forecasting trends, and the knowledge of the attributes underlying continued customer satisfaction.

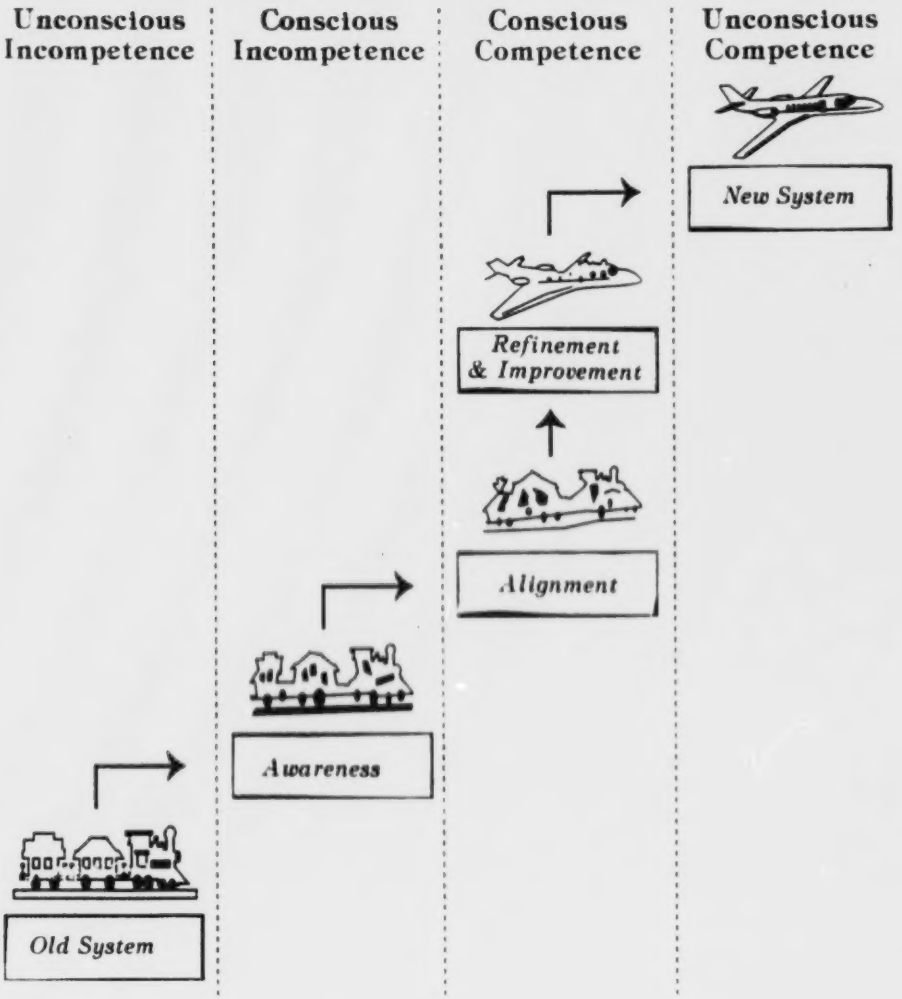
Quality is never the problem. Quality is always the solution.
Dr. Myron Tribus

Understanding the Steps to Organizational Transformation

Initially an organization is operating as it always has been. It is unaware that it may no longer satisfy its customers. If the organization is in financial or political crisis, leaders may not have realized that the machine of their organization has lost its ability to produce the desired product or service. Leadership may blame this fact on the Fates or attempt to ride out the unfavorable tides, but they will remain in a stage of "unconscious incompetence" until new information is acquired that will allow them to see the problems that must be overcome. This stage is called "conscious incompetence," or "I know what I don't know." In the words of Albert Einstein, "The problems we face today can not be solved with the same level of knowledge that created them." New knowledge and new skills are a required part of the transformation. In absence of these, we are destined to remain fixed. The new knowledge is continual improvement or quality philosophy that is a combination of the existing scientific fields of Systems Theory, Psychology, Variation, and the Theory of Knowledge. These four areas, referred to as Profound Knowledge (Deming, 1993.), form a foundation for all other fields of study by providing the structure to support a continually improving body of knowledge. Once an organization begins to understand the principles of continual improvement, it has moved into an awareness stage in the transformation process. This is the beginning of the development of a quality culture which is the basis of the new system.

* Deming, W. Edwards (1993). *The New Economics*. Cambridge, M.A.: Massachusetts Institute of Technology.

Understanding the Steps of the Organizational Transformation



It will remain at an awareness level until actions are taken to begin to revise the organizational structure to be consistent with the principles of continual improvement. This stage may be referred to as "the domain of the conscious competent," that is, correct choices can be made if we are deliberate and mindful of the new parameters in which we are operating. This is similar to a fifteen-year-old with a driver's permit. The teen knows the rules and procedures of driving but must concentrate in a deliberate fashion to remember to follow all of the unfamiliar conventions of the road. Beginning practitioners of continual improvement principles will find equal challenge as they attempt to rethink work processes within the unfamiliar conventions of a quality culture. This stage is frequently called "the alignment stage" because, while in this stage an organization is busy adjusting, retooling, and aligning its existing processes to operate consistently within the parameters of a quality culture. During this stage some processes are thrown out entirely while others may be slightly adjusted. Here the machine of the old system is under scrutiny, questions are asked, and answers are required. While there are many questions to be asked at this time, they center around:

- What is the system aim?
- Who are your customers?
- What do your customers require?
- How does your process provide value to the customer?
- How are you improving your ability to meet customer expectations?
- What will your customer expect from you tomorrow?

The integrated system provides the structure for decision making ("conscious competence") required in this alignment stage.

Strategies for School Administrators

- ***Establish customer focus.***

The creation of a constancy of purpose based on customer focus is the foundation of a quality system. This needs to begin as soon as possible. The importance of customer

focus should be understood not only by school personnel but by central management, elected school board officials, representatives of employee organizations, parents, and community. Establishing school or department mission statements, values, and beliefs provide a forum to support a common frame of reference based on customer requirements. It is essential that these statements reflect a commitment to the customer. In the development of vision, mission, and belief statements, it is often not an issue of the particular words that a group has chosen as its mission statement. It is the discussion and collaboration process that they must go through to achieve consensus on those words that is so powerful.

- ***Identify a champion for quality.***

The transformation process of the district will need constant orchestration. A top administrator should be selected who can oversee this process and assume a proactive posture.

- ***Facilitate the change process.***

Cultural change is slow and painful to an organization. It is essential that all staff members are given as much information as possible to prepare for the challenges they will face. Training plans should include this as an important foundation piece.

- ***Provide new skills.***

Learning to operate within a system of continual improvement is essential. Consistent, comprehensive training must be available. New skills will be needed in the areas of integrated management system, leadership, customer focus, and process improvement. Minimal training should include: Change process; Global Economy; Principles of Quality, Leadership, Customer Focus, and Process Improvement; Application of Quality Principles; Quality Tools; and Creating Quality Systems.

- ***Begin to ask quality-based questions.***

As awareness grows, the organization will be ready to focus on initial understandings of quality structure. As part of an organizational quality curriculm, Pinellas County Schools, Florida, developed a three-phase system based on the Malcolm Baldrige criteria. The first phase of this system, called *Challenge One*, can be used by the leadership of districts, schools, or classrooms to ask important quality questions that are reprinted in this publication in the Appendix.

- ***Develop a District Strategic Plan based on the integrated system.***

Top district management must strategically plan key actions that will help assure that the entire district becomes involved in the quality transformation. The creation of this

plan should involve all of the superintendent's direct reports. The process of creating such a document will require intensive training beforehand to provide a common frame of reference. This group may become known as the District Quality Council and, as such, will need to develop a mission statement to describe their aim. The District Strategic Plan must address customer requirements and align all existing plans. It must address all seven categories in the integrated system. The use of the Baldrige-based self-assessment will provide the basis for the priorities within the strategic plan.

- *Develop a collaborative bargaining model.*

The teachers association or union should be a part of the initial movement toward transformation. Their support and leadership will become increasingly important as change progresses. Collaborative bargaining relationships can be built through the development of a collaborative bargaining model rather than the traditionally adversarial posture. This is required within a quality culture and for giong to scale with TQM. It is important to develop a shared vision and to strive to make collaborative decisions based on optimization of the system. Leadership will need to proactively plan to assure that association leadership is viewed as a key stakeholder in all cross-functional teams.

- *Establish the role of the school board.*

The elected school board requires special attention from district leaders as quality plans are implemented. Efforts should be made to provide a quality training retreat specifically for the board. The unique political nature of the board function makes it a target for special causes and makes it truly difficult for members to try to optimize the system. Training will help to provide the foundation the board will need to understand changes that may be in progress throughout the district (i.e., going to scale). As the language of quality becomes more deeply imbedded in the district culture, it is natural for issues that come to the board's attention to be presented as matters of special cause, suboptimization, or voice of the customer. They will need to understand these important terms. District employees will want to know if anyone has "told the board." It is an important alignment issue for employees to see that even the highest levels of the system are involved in learning new ways of work.

- *Create a District Collaborative Council.*

An advisory council to the District Quality Council should be established. This group is not a decision-making body but helps to facilitate the transformation by serving as liaison between the district-at-large and the District Quality Council. It will provide valuable input in the direction the district takes in quality implementation. The

Council should include actual heads of divisions or elected representatives: teachers association president, PTA president, school board chair, employee association president, etc.

- ***Form a business partnership.***

Many large corporations have training programs in place to help their own organizations transform to the new system. School districts may establish partnerships with such companies to help them gain quality expertise. Research to determine which companies have the most to offer will be well worth the investment. Businesses that have been successful using the Baldrige criteria or a state quality criteria, such as Florida's Sterling criteria, probably offer the most promise. The quality criteria enable organizations to form partnerships in the community, so assisting the public schools will be of particular interest to them. They are also likely to have a more mature application in place and, as a result, be positioned to offer more reliable assistance. A strong business partnership will also provide a positive force from outside the school system to stick with the transformation process. An occasional nudge from an influential business leader can be crucial to a district's long-term success.

The Pinellas County School District has embarked on a quality journey to a new educational philosophy for school improvement. Through quality retreats, training partnerships, community linkages, and a variety of other quality enhancement initiatives, Pinellas County continues to strive for excellence.

Awareness Benchmark:

Quality Training Retreat

Pinellas County Schools uses a three-day training model to orient its employees to the shortcomings of old-system thinking. Quality philosophy strategies are presented to offer alternatives. Time is allocated to build team contracts and mission or aim statements. Employees are encouraged to question their roles in the system. The model provides each group with a starting point from which they can develop a quality system that will eventually replace the existing old system.

Awareness Benchmark:

School and Business Training Partnership

Barbara Thornton, Principal of Largo High School, Largo, Florida was interested in providing quality training for her faculty. The training provided by the district to orient teachers to quality is a three-day training retreat. The district model allows a leadership team of approximately 15 to attend the out-of-county retreat. This requires that substitutes are provided for each teacher being trained. This model has been a successful starting point for schools because it provides training to a representative cross-functional leadership team that is large enough to form a quality council in the school but not so large that the number of substitutes becomes problematic. Principal Thornton, however, was eager to provide training for a larger number of teachers in her school and wanted them to experience the training together. Largo High School had formed a partnership with AT&T Paradyne and had worked with corporate executives on several quality-based projects. The staff devised a plan that would accomplish her goals and more. She enlisted the assistance of AT&T Paradyne's vice president, Larry Chamberlain, four other executives, and four district trainers to come to her school during the three days of off-site training for her staff. The eight volunteers and several students (part of a former student training offered by AT&T) developed a three-day quality training for the students of ten additional teachers who were going to quality training. This would give both teachers and students a common frame of reference and vocabulary from which to build a more innovative learning environment.

Now, Largo High School leads the district with its 21st Century Learning Center. It is a school of choice that keeps students with four or five teachers for the four years of high school and provides them a seamless curriculum of project-centered learning. Students routinely use quality tools and principles and interact with business and community leaders in this creative, re-engineered continual improvement environment.

Alignment

Lessons Learned

- **Do** act strategically in prioritizing efforts to change components within the organization that have system-wide implications and contribute to the alignment of the entire organization.

- **Don't** use energy on system components that are resisting. Concentrate on areas that are receptive. Help make those areas successful, and celebrate and recognize those successes publicly.

- **Do** identify a vital few goals and measurements to use as the basis for focusing the organization, establishing priorities, and aligning system components. The goals must be translated from the customer requirements.

- **Don't** move ahead with the alignment stage unless there is consensus on the vision, mission, and goals by senior leadership. The translation of the customer requirements into vision, mission, and strategic goals is the basis for all alignment.

- **Do** look for "windows of opportunity" to support key processes that have receptive process owners.

- **Don't** avoid sharing and networking at the state and national level. Very few districts are truly committed to the transformation, and they can learn from each other.

During the alignment stage, the questions that guide an organization to discover the linkages, order, and connections of the transformed system are most important. That is why many organizations that have successfully transformed to a culture of continual improvement have done so using the questions of the Malcolm Baldrige Quality Criteria. The Baldrige criteria were developed to promote national

productivity in a global marketplace. The criteria provide a system to achieve de facto quality. That is, if an organization structures its processes to successfully meet the criteria, it will by default have created an organizational architecture for quality. The National Malcolm Baldrige Quality Award provides incentive for many organizations to engage in this restructuring process. For educational transformation, the Baldrige criteria are perhaps more valuable as the basis of a curriculum of organizational development for quality. Thousands of companies use a Baldrige-based self-assessment to provide the questions that will help them determine how to rearrange, reconnect, and realign their systems so that they can operate as an orchestrated whole.

After an organization has struggled with alignment issues and has worked to adjust its aim to be in concert with customer expectations, it will gradually find that it is practicing the principles of quality and continual improvement. It will begin to hold up each decision in terms of its relation to creating a high-performance system. In the same way that a teen continues to practice driving rules and skills, the organization gradually moves from cautious, deliberate decision making to experienced, practiced ways of work that are deeply rooted in quality culture. This stage is that of the "unconscious competent," one who is wholly unaware of his skill and operates by habit. Adults who have been driving a car for twenty years do not consciously think about the conventions of the road—they are unconsciously competent. It will take this sort of cultural transformation before our organizations become adept at orchestrating all efforts within the organization.

Strategies for School Administrators

- ***Establish cross-functional process improvement teams.***

Throughout the alignment stage, processes will be scrutinized in view of their appropriateness in a high-performance system. Before any process is changed, a representative stakeholder group should be formed as a cross-functional process improvement team. Its purpose would be to create a new process that would meet all the requirements of the integrated system. This may require only slight adjustments or a complete overhaul of the process. The use of cross-functional teams to create new processes appeals to the members of the organization as a strategy. It offers an alternative to top-down decision making and shows tangible proof that leadership is conducting business in an improved way. District leadership should make every effort to communicate this strategy to all employees. Cross functional teams should be carefully planned to include members from each level. This increases the likelihood

that those who are working to transform the system have all the necessary players to accomplish that goal.

- ***Encourage Baldrige-based organizational self-assessments.***

Districts and schools can use the continuum in Appendix B to determine where they are in the quality transformation and to understand logical next steps. The continuum is Challenge Two of the three-part Baldrige-based quality curriculum developed in Pinellas County Schools, Florida. For educators familiar with using rubrics with students, the advantages of using the continuum will be apparent. It is much more comprehensive and specific in nature than the *Challenge One* materials and, by design, will guide alignment and improvement within a district, school, or classroom by providing a narrative description of steps toward quality.

State Principal Certification Aligned to Quality

The Pinellas District formed a collaborative council to redesign the two-year training requirements for principals known as Level II. The redesign efforts were to be based on the new requirements for leadership in a quality culture. The old system mandated by the state, credentialed by the university, and staffed and administered by the professional education department within the district was no longer appropriate to equip leaders with the skills needed for the future. A cross-functional team made up of principals, assistant principals, an area superintendent, the director of Professional Education, a union representative, a faculty member from post-graduate educational leadership training, a member of the Florida Department of Education, a parent, administrators from various areas of curriculum and instruction, the Level II Coordinator, and an advisor in quality met for over a year to determine how all aspects of the program could be reengineered to become a model for the training and development of skills for quality leadership. This collaborative group began its task with a comprehensive review of quality principles. Time was spent sorting skills from the old training system to determine validity and appropriateness in the new system. Gradually a new system was created. Because all stakeholder groups were involved from the beginning, the system created met everyone's requirements and was easily provided the necessary sanctioning by university and state officials. This is the power of the collaborative council to create the new system.

Level II

Introduction

The Preparing Quality Principals Process is designed to transform Pinellas County administrators into Quality Focused Leaders ready to meet the challenges of the 21st century. The state certification process, which includes workshops, experiential learning activities, and authentic demonstrations, provides participants with skills needed to apply the fundamental Total Quality Schools concepts of:

- Leadership
- Customer Focus
- Process Improvement

The Quality Performance Expectations derived from these three core concepts are rooted in Deming's Profound Knowledge and reflect the state-developed Florida Principal Competencies. Quality Performance Expectations serve as the basis for principal development in this program. Certification completion is based on a minimum of two years participation in the program and successful demonstration of the Quality Performance Expectations. Interim Principal Certification is based on a minimum of one year participation and successful demonstration of the Quality Performance Expectations. District-level participants are required to meet the state-mandated contact time of ninety-one days of school-based administrator experience during a minimum two-year period. Armed with these essential skills, a new breed of principals will be prepared to meet the emerging challenges confronting future educators.

Program Goals

- Participants internalize quality concepts in order to incorporate both process and philosophy into their leadership applications.
- Participants experience a variety of roles allowing for practice in all three key Quality areas: Leadership, Customer Focus, and Process Improvement. Each area is further defined into Systems, Knowledge, Variation, and Psychology applications.

- Participants validate competency through structured, hands-on demonstrations and projects.

- Participants receive frequent coaching and feedback from a mentor and support team for the purpose of achieving continual improvement and collegial role modeling.

- Participants are networked to current information through technology and collegial collaboration.

Quality Performance Expectations

Leadership–Psychology:

- Leaders are life-long learners.

- Leaders can use the power of intrinsic motivation and understand the effect of extrinsic motivation on the individual.

- Leaders continually strive to transform the culture to one of quality.

- Leaders value, develop, and encourage the empowered worker/learner.

- Leaders manage the psychology of change and the effect of change on the organization and individuals, and provide appropriate support.

- Leaders create an environment which instills pride in workmanship.

- Leaders work toward the elimination of fear by building trust.

- Leaders understand the benefits of diversity among workers/learners.

- Leaders help people do a better job.

Leadership–Systems:

- Leaders demonstrate understanding of systems theory and allocate resources to change systems as needed.

- Leaders work for improvement by changing systems not individuals.
- Leaders provide training for job skills and education for self-improvement as a strategy for system improvement.
- Leaders develop and maintain Constancy of Purpose.
- Leaders work toward optimizing the system.
- Leaders recognize the benefits of cooperation and collaboration and the losses from competition.
- Leaders can explain each person's role in the system–helping everyone see themselves as part of the system.
- Leaders are able to use quality assessment criteria (Florida Sterling and Malcolm Baldrige) to guide the development of quality systems.
- Leaders recognize that cross-functional teams break down barriers and eliminate making decisions in isolation from the system as a whole.

Leadership–Variation:

- Leaders recognize that variation and diversity provide opportunity for analysis.
- Leaders distinguish between common and special cause and respond accordingly.
- Leaders make decisions using knowledge-based data, not intuition (superstitious knowledge).
- Leaders know how to analyze and interpret data.
- Leaders analyze variation to predict outcomes.
- Leaders view mistakes as an opportunity to learn and continually improve.

Leadership–Knowledge:

- Leaders maintain a level of knowledge that allows them to effectively predict outcomes.

- Leaders recognize that management in any form is prediction.
- Leaders understand and use scientific methods to improve systems.
- Leaders are willing to revise theory and practice to reflect continually changing knowledge and information.

Customer Focus:

- Leaders understand that customers define quality through their levels of satisfaction and experience.
- Leaders know how to identify internal/external customers.
- Leaders recognize that customer requirements are best determined through the voice of the customer.
- Leaders recognize that systems are comprised of a myriad of customer-supplier relationships.
- Leaders know that measuring customer satisfaction is vital.
- Leaders know that decision making is aligned to the requirements of the customer.
- Leaders know that individual customer perceptions determine that customer's level of satisfaction.
- Leaders know that customer feedback should be built into every improvement cycle.
- Leaders know that it is important to reduce variation of external suppliers.

Process Improvement:

- Leaders select and use basic quality tools appropriately.
- Leaders can apply the Plan Do Study Act (PDSA) cycle to continual process improvement.

- Leaders recognize that most system variation can be attributed to common cause variation.
- Leaders know where, what, and how to measure for process improvement.
- Leaders improve processes by reducing variation.
- Leaders use their knowledge of common cause variation to continually improve processes.
- Leaders do not change process based on special cause variation.

Collaborative Bargaining Aligned to Quality

There is a distinct philosophical and legal conflict between the concepts of school-based decision making and traditional collective bargaining. Under Florida law, for example, the impact of any change in terms and conditions of employment must be bargained with the affected labor organization prior to implementation. This would imply that for each new initiative generated at the individual school level, the board and the association could be required to bargain the impact of that change on employees. Not only does this make the process cumbersome, but it also undermines the basic notion that decisions can be made more effectively at the local school level without centralized control.

District leadership and the Pinellas Classroom Teachers Association agreed to utilize their quality training to redesign the bargaining process for 1993-94. In the spring of 1993, both parties trained their respective bargaining teams in the basic fundamentals of quality and allowed them to discuss ways in which quality processes could be employed in the concept of collective bargaining. In May, the district's team and that of the Pinellas Classroom Teachers Association participated in a joint training session. The parties agreed to develop a vision, mission statement, and a set of values and belief statements as the foundation for what the teams hoped to accomplish as a result of utilizing this new process. Uniquely, the training that took place at the first meeting was done at *round* tables with members of both teams working together. This, in itself, began to dispel the old concept of teams talking *across* tables to reach agreement. As the training progressed, the participants began to realize that the issues that were normally brought to the table were not unique to one group or the other but were common issues that, if resolved, could add value to what was done for students in the

classroom. This helped reinforce the idea that working together to solve major issues could enhance the system much more effectively than just "tampering" with the small isolated problems that came to the table each year. As the process continued, it became evident that the two bargaining teams had become one team with a common focus.

As with any change, the participants had to feel comfortable with the final product being something that could still pass the legal requirements for ratification of a labor agreement pursuant to Section 447 of the Florida statutes. The document took on a new look as the old articles, sections, and subsections were replaced for 1993-94 with a set of short-term and long-term strategies that addressed major educational issues. Many of these issues will now be resolved by creating working cross-functional teams that will work throughout the year to identify necessary data on each issue and to develop specific strategies to make improvements in the identified areas. Obviously one of the primary issues to be addressed will be that of salaries for educational personnel. Although this is a perennial topic for collective bargaining, the quality approach will allow the parties to view salaries in light of a data base consisting of state and national salary information as it relates to the vision of where the district would see teacher salaries not just next year, but in the years to come. Trend analysis, flow charts, and Pareto charts will eventually take the place of the typical proposals and counterproposals seen at the bargaining table. The investment of financial and human resources will ultimately become a cooperative strategy designed to focus on value-added issues that will truly make a difference in education in Pinellas County. As both parties focus on "optimization of the system" the traditional concept of a collective bargaining "contract" may even disappear completely over time, and a new set of mutual goals and objectives created by the board and its employees may take its place.

Although the process for 1993-94 made only minimal changes in the original collective bargaining agreement, the establishment of long- and short-range strategies for addressing major educational initiatives has now set the stage for more effective ways of working together for continual educational improvement.

In September of 1994, five process teams (subsets of the Collaborative Bargaining Team) were established to address areas that were identified as bargaining priorities.

A compensation study team continues to work on the goal of aligning all Pinellas salaries to at least the eighth best in the state, based on the fact that they receive the

eighth largest appropriation from the state of Florida. To accomplish this, the team identified some short-range goals based on the comparability study that was done. These included phasing in a common pay system for all support personnel as well as increased hourly pay in the instructional unit, adding School Office Clerks to 58 elementary schools, and increasing shift differentials and substitute rates.

An employee evaluation team studied many different evaluation systems in an attempt to develop an employee assessment process that aligns to quality principles. The team developed two new instruments for this purpose, one which is a transition from the old system and one which uses the Superintendent's Quality Challenge criteria as the basis for assessing strengths and opportunities for improvement in the individual employee. It is the hope of the team that this new SQC approach will be piloted in some schools during each school year. The remainder of employees will be able to opt for the present system or the transition system of evaluation.

The Voice of the Customer team has found an employee satisfaction survey that will be sent to a sample of the District's 16,000 employees and analyzed to provide much needed data on employee well-being and satisfaction and to suggest areas in which we can improve employee morale. This survey, the first of its kind on a district level, was administered in October, 1995. The results were presented to the Collaborative Bargaining Team by the first of the year for their use in bargaining the 96-97 contract.

The employee handbook team is in the draft stage of a booklet that will contain everything every employee needs to know to be successful. The goal is to standardize information on frequently asked questions, as well as sources for other information. Similarly, a team looking at concerns of struggling students is compiling a comprehensive resource guide for all the services available for students in need.

The Collaborative Bargaining Team agreed to a series of ambitious goals including educating employees and the public on salary funding inadequacies, alignment of the district staffing model to the state funding formula, developing strategies for early retirement incentives and fringe benefit enhancements, and continuing the work of the process teams described above. The Collaborative Bargaining process continues to explore more effective ways of working together for continual educational improvement.

Refinement and Improvement

Section IV

Lessons Learned

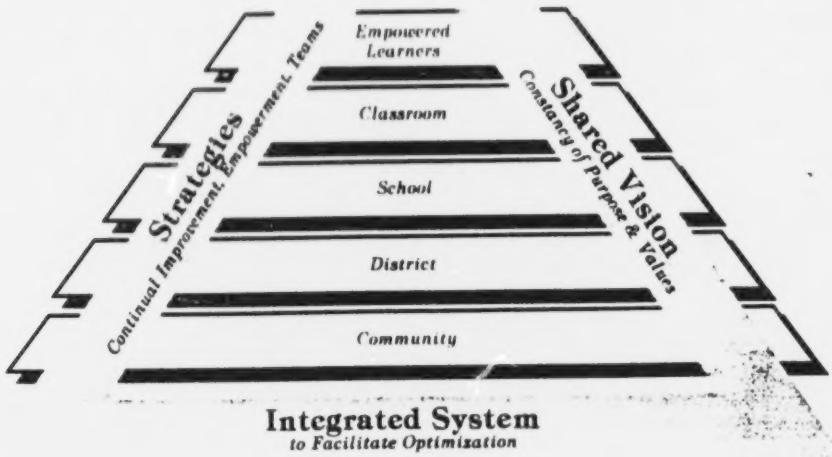
- **Do** use an integrated management system to refine and improve the organization. This is essential to achieving high productivity and systems alignment.
- **Don't** implement the integrated system without sufficient technical and logistical support. This system is complex and requires a new level of knowledge to successfully implement.
- **Do** expand the use of data and measurements in reporting progress and achieving the goals and key work processes.
- **Don't** delay in establishing and publishing baseline results measures for all key customer requirements, both internal and external.
- **Do** look to the business community to provide technical support in the use of the integrated systems approach. The integrated system provides an interface to involve the business community.
- **Don't** be too general in stating your goals. Precision is required to refine and improve to a level of high productivity.
- **Do** develop alliances with other organizations outside of education that are using an integrated systems approach.
- **Don't** allow the organization to confuse the customer driven alignment with top-down autocratic leadership. It is top-down alignment but the customer is on the top.

There are three major components essential to a high performing system within a quality culture. These are shared vision, strategies, and integrated systems. Each is essential to the development of systems capable of supporting the empowered learner.

Empowered Learners, Classroom, School, District, and Community

It is essential to understand the underlying relationships among the members and stakeholders of a system and to nurture and support them. To successfully create and maintain an environment for the empowered learner, it is necessary to nurture and support the classroom and the teacher in the application of all facets of the continually improving system. A principal must not only create a learning culture within the school as a whole but must also facilitate this within the individual classroom and at a district level.

The Organizational Architecture for Quality



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Shared Vision

The authority to change a process resides at different levels within the system. The community owns many educational processes, expressing this ownership through elected school board members. Other processes are owned by the school district, the state, or by outside agencies. To the extent that any educational unit, school, or classroom is affected by the decisions of others, it must work with these groups to establish mutually beneficial processes through the development of shared vision, constancy of purpose, and values.

A school that tries to create its own independent quality culture will fail if it is operating outside of its district's culture. The school will be limited by every process it does not own. A district that operates outside of the culture of its community or state will find its efforts thwarted the first time it "runs up against the system." Learning organizations and communities can actually be planned, developed, and grown. W. Edwards Deming strongly believed that the smallest unit for educational transformation was the school district. He was fully aware of the natural restrictions to cultural transformation that are inherent in a system involving only classrooms or schools. It is nearly impossible to control the effects of those outside your system with such a limited sphere of influence.

Strategies

Strategies can be employed to help build favorable relationships between the various levels of educational stakeholders and help to facilitate the development of a quality culture.

Cross-functional teams should be carefully planned to include members from each level. Cross-functional teams increase the likelihood that those who are working to transform the system have all the necessary players to accomplish that goal.

In addition to the careful strategic selection of team members, leadership must support an environment that gives real decision-making ability to the team. Our knowledge of psychology as a hallmark of quality principles reminds us that leadership must do everything possible to create an environment where people can do the right thing.

Skills and strategies for creating a system of continual improvement are also needed. The Plan-Do-Study-Act cycle provides a basis for process analysis. Quality tools can be used to make data driven decisions in the study phase of the improvement cycle. Care

should be exercised that the use of tools does not become an end in itself. The diagram reminds us that optimization through the creation of integrated systems is much more than simply "doing the tools."

Integrated Systems

It is not unusual for an educational organization to have a shared vision and to employ strategies to achieve its aims. Few, however, have integrated systems that can support efforts of continual improvement for the long term. The Organizational Architecture for Quality illustrates the component parts of an integrated system. The integrated system of continual improvement is the foundation for a high performance system and is essential to systems optimization. The larger and more complex the integrated system, the greater the potential effect of the optimization. In the educational arena, the multi-layered spheres of influence offer endless opportunities for integration and system optimization. Quality principles can provide insights into this highly inter-related system. With careful strategic planning, based on the establishment of integrated systems within each level and between levels, educational leaders can use this knowledge to build successful cultures for continual learning.

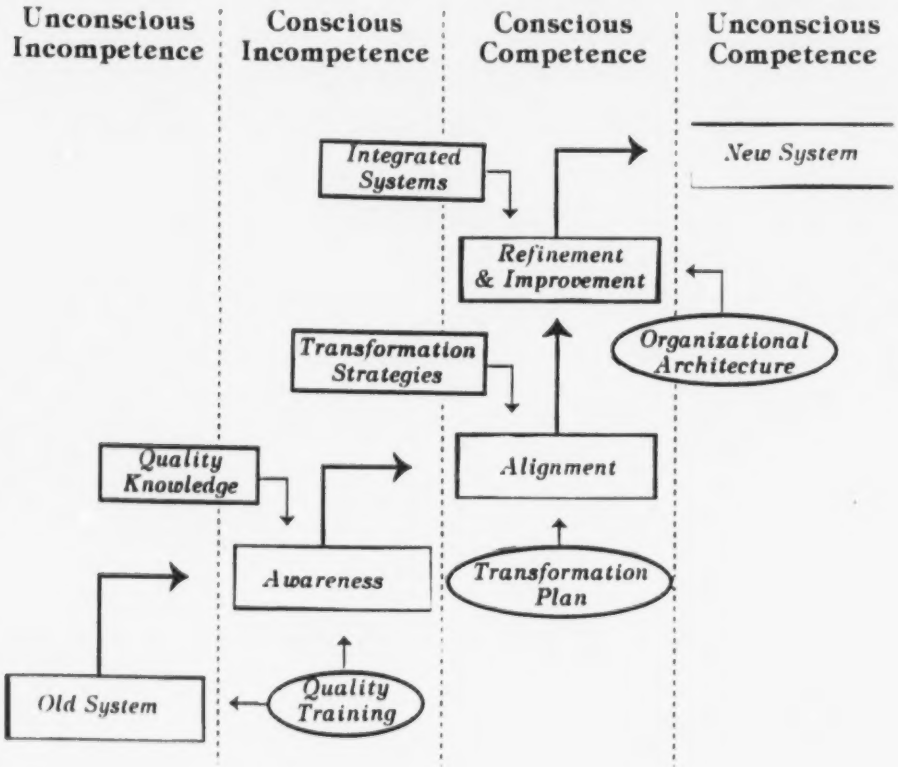
Like a three-legged stool, the triangle made up of *Strategies*, *Shared Vision*, and *Integrated Systems* cannot stand with a piece missing. To create a Quality Culture, all three must co-exist and be carefully attended to in all strategic planning. Here again, the use of a Baldrige-based self-assessment will assure that all three components are addressed in the strategic plan. Simultaneously, these initiatives must exist for each level of the educational community in order to support the empowered learner.

Linkages

Linkages are important connections that must be established throughout the organization. The Baldrige framework is designed to make continual improvement a part of the mechanism of the organization. As an organization progresses through the awareness stage and into the refinement and alignment stage, it becomes increasingly important to understand the relationships among the processes in the organization. It is at this stage that the Baldrige structure can be of greatest value. Its organizational structure can help to direct the initial alignments we engage in. It sounds simple. It is and it isn't.

If we want to use the Baldrige criteria, where exactly do we start? The numbering system of the Malcolm Baldrige, with its seven categories, appears to direct us to start with number 1.0. In truth, the numbering system is not designed to be used in this way.

A variation of the Baldrige continual improvement system is presented here. In this display it is easy to see that customer requirements determine goals which should, in turn, be measured by results.



The following display shows leadership's responsibility for translating customer requirements into appropriate goals and strategies and identifying appropriate results measures.

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STEP ONE Establish Customer Requirements. 7.0

The first step is to determine customer requirements. This is category 7.0. While this may seem simple, it will require careful determination of vision, mission, and organizational purpose as it relates to the voice of the customer. In education, the customer is fundamentally the taxpayer for whom public education exists. Usually, the major customer requirements are interpreted initially at the state level. These interpretations come to local schools in the form of state curriculum guidelines, Carnegie units, certification guidelines, and the like. Some states have comprehensive plans such as Florida's Blueprint 2000. Districts add to the voice with specific curriculum frameworks, graduation requirements, and assessment standards. Individual schools further clarify the voice with an interpretation that factors in the student population in terms of grade level, special needs, demographics, age, community involvement, and so on. It is vital that customer requirements be articulated as clearly as possible. The remainder of the highly-integrated Baldrige system will be focused on and aligned to these requirements.

STEP TWO Determine Strategic Directions and Planning Goals. 3.0

The strategic directions and planning goals translate the voice of the customer into system specifics that must be accomplished by the organization in order to meet the valid needs of the customer. The organization may choose to focus its attention on a few key customer requirements before establishing specific goals to support improvement in those areas.

For example, if a valid customer requirement is:

Each student must be proficient in reading.

Then, a comparable planning goal might state:

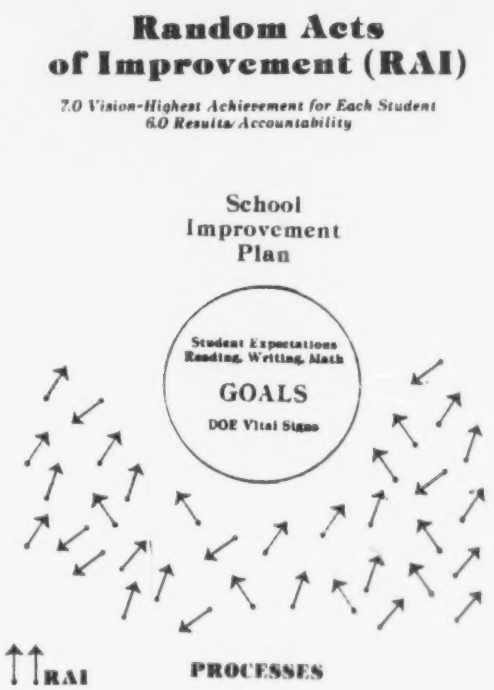
Each student will read, locate, and apply information at grade level or above.

Other goals might also be identified that become the stated deliverables for which the organization will hold itself accountable.

STEP THREE Identify Results. 6.0

Measures must be identified that will indicate to the organization the degree to which it has been successful in accomplishing its goals and has produced the stated deliverables. For example, the organization must be accountable to deliver its stated planning goal: *Each student will read, locate, and apply information at grade level or above.*

To measure results, a corresponding results measure for this goal might be performance on a standardized test such as the CTBS. Trend data (data over time) should indicate that the organization is improving its ability to meet this customer requirement.



Unlike the old system's Management By Objectives (MBO) structure, Baldrige linkages are the connections that allow an individual, department, or school to determine how individual processes contribute to the goals of the organization. In the old MBO system, management set goals for the organi-zation, and each worker tried to write a comparable goal at his/her level to support the goals of management. These may or may not have been associated with the specific needs or requirements of customers. Today, using a Baldrige perspective, it is possible to determine what the customer requires and to directly translate planning goals and strategies into processes to deliver what is required. In Baldrige, this linkage is elaborated in category 3.0. Another basic difference is the importance of linking the results of category 6.0 directly to the goals that have been identified. When a clear linkage is established between the customer, planning, and results, the basis for developing an integrated system is established.

This much of the display represents strategic levels of planning. To summarize:

- Strategies are the theories upon which an organization bases its system. Profound Knowledge and the Baldrige system are strategies.
- The 7.0 aim of the system represents the purpose of the organization as determined by the voice of the customer.
- A 3.0 goal translates the aim of the system to system-specific deliverables that can be accomplished by the organization.

- The 6.0 results are measurements that indicate the success the organization has had in producing the stated deliverables.

The school improvement process and individual school improvement plans must be aligned to achieve the school and district vision through the accomplishment of the district goals. Most often, efforts are not aligned systemically and random acts of improvement are the result.

The processes that are in operation may or may not be contributing directly to the vision and customer requirements of the organization. Again, the Baldrige criteria can greatly assist the organization as it aligns and refines its processes.

A great difficulty in education stems from the fact that there have historically been so many goals in the education arena that, no matter what a school or individual educator was engaged in, it appeared to be important. When the Baldrige system of linkages is used as a basis for organizational decision making, it is easier to promote meaningful dialog related to the alignment and refinement process.

Baldrige Linkage Chart

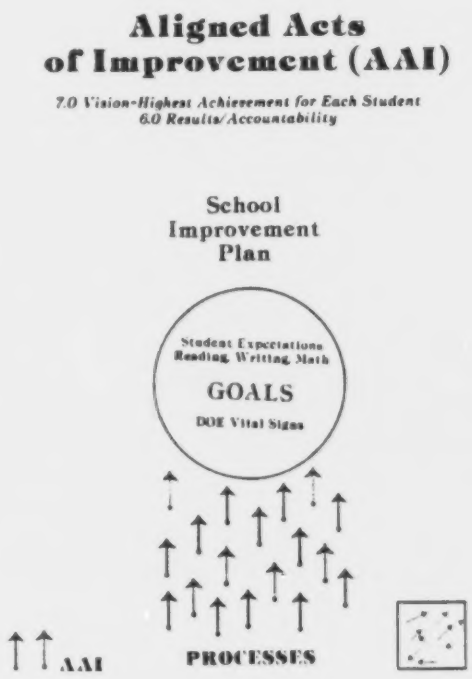
STEP FOUR Establish Processes to Accom[illegible]h Goals. 5.0

Processes must be established that will enable t[illegible]rganization to accomplish its goals. Operational processes are the methods the organization uses to produce its stated deliverables. Dr. Deming railed against the establishment of arbitrary goals, warning always that the mere establishment of goals does not assist the organization in accomplishing its aim. His eternal question was, "By what method?" The 5.0 category of the Baldrige criteria stresses the linkages necessary to align the method or the daily work of the organization with its goals and purpose.

Historically, school improvement efforts have resided in category 5.0. At best they have been random acts of improvement with little organizational structure to align them and systematically support, maintain, and improve them.

It is now possible to operationally link the specific process activities of category 5.0 directly with the established goals. It is critical that processes exist only to accomplish the goals of an organization. If they do not, they should be realigned or purged from the system. When process alignment is in place, random acts of improvement become aligned acts of improvement. The result is dramatically improved effectiveness of resources.

Note: Even when an organization successfully aligns a majority of its processes and improvement efforts, there is likely to be a small number of processes that continue to exist in the organization that are not aligned with vision and goals. In a political and bureaucratic environment such as public education, there will always be a few external customer expectations which will have to be met for funding or political purposes. It is important that these are recognized as such and that minimal organizational resources are allocated to them. They are represented in the diagram by the small box to the right of the arrow.



STEP FIVE Enable the Workers to Perform the Processes. 4.0

The organization establishes work processes to produce its deliverables. The organization must also assure that its workers have the skill, desire, and time to carry out the stated processes. Employee involvement, appraisal systems, orientation, workplace safety, and opportunities for recognition and advancement are all important factors that directly impact how well processes are carried out by employees.

It is also apparent that while training in anything can be justified, training to support the crucial processes that are related to accomplishing our goals and are directly related to the needs of customers is a better use of training resources.

- Specific 5.0 operational processes are methods used by the organization to produce the deliverables.

- At the 5.0 process level, short-term system-specific objectives further translate the 3.0 goals into the PDSA cycle.

- Process-specific data is regularly collected to guide or adjust 5.0 processes as needed to accomplish specific short-term PDSA objectives and ultimately to assure alignment and accomplishment of 3.2 goals.

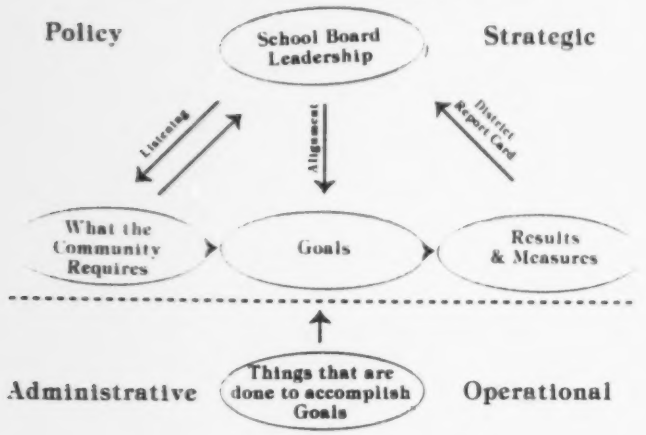
The organization's leader and those reporting directly to that official (1.0) must actively demonstrate personal involvement and visibility in developing and maintaining the linkage established by 7.0, 3.0, and 6.0.

The use of Linkages or Baldrige criteria allows us to coordinate all of the activities and processes of the organization. It provides a common framework for determining the appropriate use of our resources and allows priorities to be established. It requires that a data system be maintained that provides information for fact-based decisions to be used for planning, day to day management, and evaluation of performance in all parts of the organization. The simplicity of the Baldrige Linkage Diagram allows groups to understand the critical relationships that must exist in high performing organizations. Most importantly, it prevents falling into the common trap of placing improvement efforts and resources into the category of 5.0 processes without regard to integration and alignment.

The School Board Linkage Diagram may prove instrumental in helping school boards clarify their role as leadership responsible for maintaining a clear relationship between the requirements of the community and the goals of the district. When there is a clear

Baldrige Linkage Diagram

School Board Linkage Diagram



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linkage between the community requirements and the goals of the district, the ability to monitor results and maintain accountability is apparent.

When a school board, whose function is policy making, receives criticism for micro-managing, it is probably making decisions at the process 5.0 level rather than at the strategic or policy level which is its true domain. To avoid this problem and to solidify its understanding, awareness, and alignment, the Pinellas County School Board developed a new mission statement for its own function as an elected governing body. The mission, reached through consensus, is:

The mission of the Pinellas County School Board is to provide the best opportunities for all students to succeed by adopting policies that ensure continual improvement.

This mission shows a sensitivity to policy making and to the strategic level, rather than the operational level, which school board leadership must engage in.

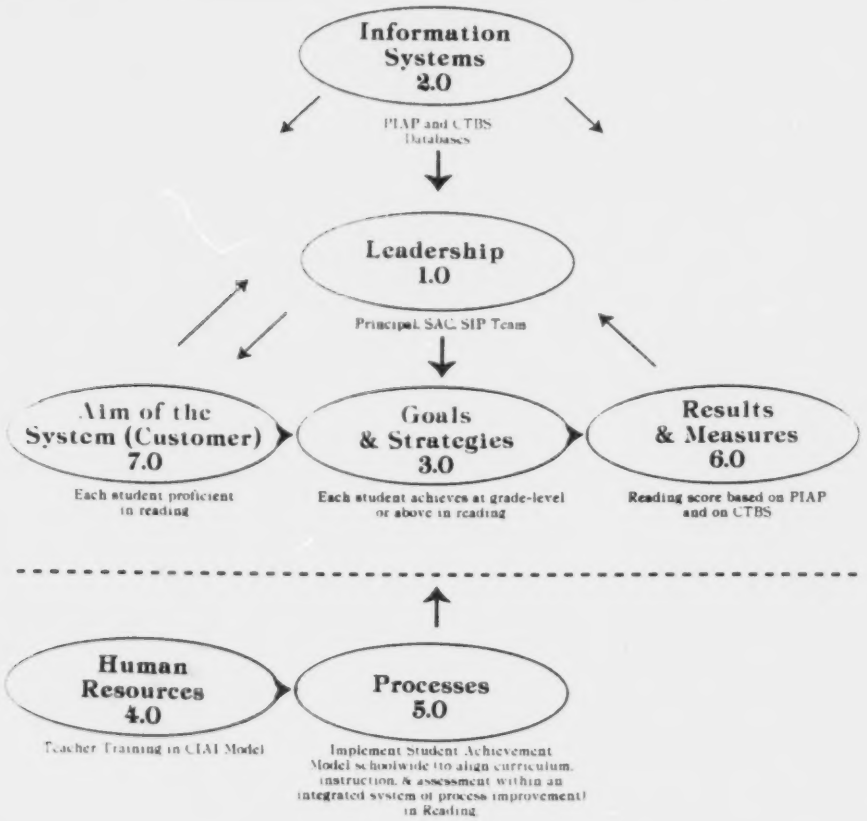
Similarly, at every level of the organization, leadership must differentiate between strategic and operational levels. The classroom teacher must understand the difference between the goals of the classroom (based on the stated requirements of grade level and content area, district, state, or national guidelines) as well as specific school emphasis. All of these valid customer requirements reside in category 7.0.

As a classroom teacher, care must be taken to allow the students to assume the necessary ownership of category 5.0 processes to support the goals established. If this is not done, the teacher may inadvertently micro manage her classroom in the same way that the school board may inappropriately meddle in school-specific issues. Category 4.0 training at the classroom level, directed at improving the capacity of the students to participate in and manage their own learning processes, may involve such things as team training, conflict resolution, quality tools, use of technology, cooperative learning strategies, and so on.

The School-level Linkage Chart represents an application of the Linkage diagram as used to help clarify the role of an elected school board. It shows how the framework can be used to align the processes of improving reading proficiency. It helps school leadership (1.0) define its role in overseeing the strategic relationships between the aim of the system (7.0), the goals of the system (3.0), and the results of the system (6.0). It helps leadership to provide a clearly defined context through which empowered teams can make choices about how things will be accomplished (5.0)

School-level Linkage Chart

Planning for High Achievement for Each Student


Information Systems 2.0
PIAP and CTBS Databases
Leadership 1.0
Principal, SAC, SIP Team
Aim of the System (Customer) 7.0
Each student proficient in reading
Goals & Strategies 3.0
Each student achieves at grade-level or above in reading
Results & Measures 6.0
Reading score based on PIAP and on CTBS
Human Resources 4.0
Teacher Training in CIAI Model
Processes 5.0
Implement Student Achievement Model schoolwide (to align curriculum, instruction, & assessment within an integrated system of process improvement) in Reading

while accountability for meeting customer expectations (7.0) and goals (3.0) is assured. Results (6.0) continue to be carefully analyzed by leadership. This chart could also be used to form the basis of decisions related to data and information requirements of the system (2.0) and training and employee support (4.0) necessary to implement the selected processes (5.0).

An examination of school improvement around the country in the last decade will show an excess of such programs as Co-operative Learning, Outcomes-based Education, Effective Schools, and so on. Each is a *method*, a *process*, and a *part* of the improvement cycle. Unfortunately, to do these programmatic strategies and methods is often seen as the goal. Predictably, they account for some initial improvements—

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random acts of improvement—but are, by definition, unable to produce systemic change.

The Baldrige criteria is a comprehensive framework upon which systemic improvement can be built. It is *non-process specific*, meaning that any method can be used as long as the linkages are in place to assure customer satisfaction and the results show positive improvements. It allows a group to focus on the reasons it selects to engage in certain activities. It provides a common framework for determining the appropriate use of resources. It helps to assure that a data system exists that is capable of informing progress and continual improvement.

Strategies

- ***Align major systems to quality.***

During the refinement stage, major systems within the organization are re-established by the work of collaborative councils. These will include such district-wide systems as evaluation systems, hiring and orientation, collection of customer data, leadership training, collective bargaining, curriculum development, etc.

- ***Use Baldrige-based self-assessment as a district strategy.***

As the district moves toward greater alignment and refinement of processes to quality, top leadership must put in place a district strategy to support this refinement. The strategy will communicate the importance of developing integrated systems. Training and technical support should be p rovided. The use of a tool such as the *Challenge Three* materials developed by Pinellas County Schools will provide much needed guidance. At this stage systems integration is becoming more complex and the self-assessment will target critical areas that leadership needs to address.

- ***Communicate skills which are valued.***

Leadership can signal commitment to creating integrated systems by demonstrating that these are the issues of highest priority in the district. If leadership uses every opportunity to inquire about the progress of these initiatives, they will soon be given more attention. The district can identify these skills as the desirable characteristics for administrators seeking promotion within the district. Eventually evaluation systems throughout all levels of the system should reflect this, whether for superintendent, teacher, or head plant operator.

- ***Develop a system for consultants.***

When the maturity of the district has reached the point where several schools are engaged in the *Challenge Two* assessments, the district will want to consider how it will support the individual needs of schools as they analyze their own systems. Recruitment, training, and management procedures related to establishing a network of internal and external consultants should be part of the district refinement plans. As schools begin to do more sophisticated assessments such as *Challenge Three*, examiners may be needed to make site visitations and analyze self-assessments against the criteria. Ideally the district could tap the growing resource of business and community leaders who are facing the same challenges in their own workplace. This provides a perfect opportunity for building mutual respect between the schools and the community. Business leaders are very encouraged by and supportive of transformational efforts within school systems. They can provide fresh eyes to help schools see innovative solutions. They will also grow in their appreciation of the complexity of educational systems and help to build a basis for a more enlightened community. With proper training, school leaders within the district can also serve as consultants for other schools. An ideal model provides for a consultant and a team comprised of educators and business partners. Pinellas County refines and improves their quality initiative through training and empowerment.

Refinement Benchmark:

Optimization of Summer Quality Training Program for Teachers

Marjorie K. Rawlings Elementary, St. Petersburg, Florida and Joseph L. Carwise Middle, Palm Harbor, Florida, teamed together to create an integrated approach to summer school, quality training, and pre-service training. Under the leadership of district leaders, Dr. Lyn McKay and Dr. Shelby Harvey and with the collaboration of Dr. Barbara Fry from the University of South Florida, as well as summer principals and district quality advisors, a plan was developed to optimize this system.

The plan matched teachers who had experience in classroom applications of quality principles with teachers who had no experience with applying quality in the classroom. It added to the pair of experienced teachers, a recent

graduate from the University of South Florida's College of Education. The graduate was hired as a paid resident by the district to learn quality principles and their applications in the classroom. The summer began with basic quality training for all residents and for half the teachers who did not have experience applying quality concepts in the classroom. Two days of intensive quality training designed for everyone followed, including coordinating personnel and summer principals. This training focused on creating an integrated quality system in the classroom and understanding the use of the Baldrige criteria as a self-assessment tool for schools and classrooms.

Throughout the summer all teachers worked together with students in a collaborative mode emphasizing innovations in teaching and learning based in quality philosophy. District and university leaders were active participants as well. Each afternoon the paid residents took over the classrooms and practiced solo application of the principles they were mastering. At the same time the teachers were involved in an intensive three-hour seminar spent in nonstop mode of PDSA in an effort to apply new knowledge and data to their teaching and learning systems. In the mornings, residents were exposed to most current revised thinking.

This example shows the structure of a highly integrated method of training and continually improving teaching and learning system. It will have long-term effects on the preservice training of teachers at the university through interaction with key leadership and by identifying skills that are valued by district employers. The district has created a supply of well trained new teachers to enter the district ranks. These residents were "first choice" for new hires. The plan has had a positive impact on the school district as teachers increased their personal experience with the use and application of quality. It set a model for developing teachers who are lifelong learners. Although the summer program was housed in two schools the teachers in the program come from schools all over the district. They have now seeded their home schools by returning to them in the fall. Above all, the students benefited from this intense teaching and learning environment.

Refinement Benchmark:
Staff Empowerment

Azalea Elementary, St. Petersburg, Florida, has been moving at a lightning pace through the quality transformation. The staff at Azalea had worked for the past few years on school improvement through state-initiated Blueprint 2000. The staff teamed well and were accustomed to using consensus for decision making. They had an active school advisory council and great community support. Brenda Clark, the principal, led her school through teacher empowerment and good example.

Things were going well; the school was making steady progress. A leadership team was trained at a district quality retreat. It seemed to provide the piece the staff had been searching for. The leadership team was so convinced that the training they had received would make a significant difference to students, they persuaded every staff member to pay their own expenses so that the staff as a total group could have a quality retreat. Everyone was included, administrators, faculty, paraprofessionals, support staff, custodians, cafeteria, and office personnel. The extraordinary proposal was made to the district to request the retreat training. District leadership was so impressed by the level of the commitment of the school that the district paid for their retreat. After training, the speed of transformation at this otherwise perfectly ordinary elementary school has been remarkable.

The staff is currently working through both the *Challenge Two* and *Challenge Three* materials. Many schools form a small committee to use the materials and report back to the staff—not Azalea! They determined that every staff member wanted to be involved on a cross-functional team to align their school to quality criteria. They have divided into seven teams, one for each category of the criteria. They requested support from the district. Mrs. Clark took part in a three-day comprehensive examiner training so that she would have a high level of understanding of the criteria. The school has been assigned seven consultants from local businesses that have been fully trained and sanctioned by the district to work with the school to do the quality assessments. All of this happened in less than a year.

Baldrige-Based Integrated Systems

Section V

Lessons Learned

- **Do** use the linkages diagram and the seven Baldrige categories as the basis for strategic planning at all levels in the organization. The use of the Baldrige-based integrated system accelerates the ability of the organization to focus and become high-performing through systems alignment.

- **Don't** exclude the PDSA cycle as a basic requirement for all system components. It is the foundation for the development of a continually improving learning organization.

- **Do** use the Baldrige-based self assessment and analysis as the foundation for continual improvement for the organization. The use of the integrated system must become part of the culture of the organization.

- **Don't** forget that the integrated system, by design, provided for de facto quality. Trust the integrity of the Baldrige system

- **Do** use the integrated systems as the strategy to align processes, effectively use fact-based decision making, and increase productivity to high levels.

s refinement and improvement begin to take place, systems will begin to change. We are moving from the train station to the airport. The following systems are examples of the significant changes taking place in key systems within the Pinellas school district as it moves steadily toward a quality culture.

Personnel Evaluations Become System Self-Assessments

Quality science teaches that, by far, most of the variation in the workplace comes from the system itself or from management and not from the individual worker. What does this mean to a transforming system of education?

The redesign of the individual appraisal system, from focusing on the individual to focusing on the system, can serve strategically to align the integrated system at all levels of the organization. This has the potential of accelerating the transformation by forcing alignment through the use of a common method at all levels for all individuals. The employee appraisal system is a mandatory component of most organizations. Individuals are accustomed to some form of appraisal system.

Traditional employee appraisal is a process used to improve performance by citing both strengths of the individual and areas needing improvement. In the case of the superintendent, the purposes of the appraisal or assessment are multiple:

- To improve individual performance
- To improve Superintendent/Board communication
- To inform the Superintendent of the Board's expectations
- To improve planning
- To serve as an accountability mechanism
- To fulfill legal requirements

Typically, there have been three main areas of focus: traits, processes, and outcomes. Most assessment criteria can be placed in one of the three areas. The methods used in assessing performance have included a rating scale, written comments, and discussion with the superintendent at a school board meeting.

There is a need to transform the existing evaluation system from one that evaluates the individual, to one that evaluates the system over which the individual has responsibility. The accountability factor focuses on the individual's ability to improve system results by improving the integrated system.

In Pinellas, a team worked with the Superintendent, School Board members, Cabinet members, and other staff to develop a process for assessing the Superintendent's performance in a manner more reflective of the district's commitment to continual quality improvement. On January 17, 1995, the School Board reviewed the proposed process and instrument in a workshop setting. Since that time, staff has worked with individual board members to obtain specific suggestions and comments and has continued to review the process with other groups and individuals. Based on the resulting comments and suggestions, numerous changes have been incorporated.

Since this approach differs significantly from typical assessment instruments, an in-depth review will then be conducted with the Superintendent and Board members to identify any needed improvement to the process and instrument. This will include validation of the process and assessment criteria and a further consideration of any unresolved concerns. Another assessment will then be conducted in the following year, using data from the initial year. Following its completion, further improvements may be identified and incorporated. The new process can then be used on an annual cycle (April-June).

The evaluation process has been aligned directly to the Baldrige criteria and the Superintendent's Quality Challenge. Each of the seven categories is included. The process used requires that the cabinet, or superintendent's direct reports, as well as other key leaders of the school district, assist the superintendent in the documentation process of the criteria. A sample is provided which corresponds to the format used by state and national quality assessments. This results in a description of the current status of the level of development of the organization for each of the seven categories.

Quality Assessment of the Superintendent

Background

As part of the District's commitment to continual quality improvement, it was proposed that the assessment of the Superintendent be based on the following categories:

1.0 Leadership

2.0 Information and Analysis

3.0 Strategic Quality Planning

4.0 Human Resource Development and Management

5.0 Management of Process Quality

6.0 Quality and Operational Results

7.0 Customer Focus and Satisfaction

These categories are adapted from the Baldrige Award and are included in the Superintendent's Quality Challenge. The assessment criteria have been selected from several different sources and organized according to the categories. The sources include the Superintendent's contract, the Superintendent's Quality Challenge, previous appraisal forms, information obtained from the Educational Research Service, and suggestions received from School Board members and staff. Through the use of quality methods and tools, the proposed assessment process is designed to facilitate discussion between the Superintendent and Board members, and to provide a link between the Superintendent's assessment and the District's Comprehensive Plan.

Initial Application and Timeline

Initial application of the proposed assessment process was completed in 1995. The portfolio was prepared by the Superintendent and staff, based on 1994-95 data. This initial phase was followed by a debriefing period with the Superintendent and Board members, after which any necessary modifications or improvements were incorporated into the process and instrument. The assessment process was then completed in

spring 1996 (April-June), with an updated portfolio based on 1995-96 data. The process is now conducted on an annual cycle during an April-to-June time period.

Steps in the Quality Assessment Process

1. **Portfolio.** The Superintendent prepares a portfolio documenting his performance relative to each of the items on the assessment instrument. This portfolio provides information to assist the School Board members in rating the individual categories and criteria.

2. **Distribution of Instrument.** The assessment instrument and portfolio are distributed to Board members.

3. **Clarification.** Individual Board members contact the Superintendent or his designee to discuss or clarify the assessment instrument and portfolio.

4. **Column 1 (Priority to School Board Members) and Column 2 (How Is the Superintendent Doing?).** Board members individually complete columns 1 and 2 for each item by answering the following questions.
   (a) For column 1, Board member answers: "In what order do I want the Superintendent to address the criteria?" The five-point scale for responses ranges from 1 (No Action Required) to 5 (Immediately), indicating the order of importance of each item to the Board member.
   (b) For column 2, Board member answers: "How is the Superintendent doing on this item?" The five-point scale for responses ranges from 1 (Very Poor) to 5 (Very Well) and indicates the Board member's assessment of the Superintendent's performance in regard to each item over the past year. Information contained in the portfolio will be helpful in making the assessment ratings for column 2.

5. **Collection of Initial Responses.** After completing columns 1 and 2, Board members forward their initial responses to the Director of Planning and Policy. Staff will then summarize the responses and forward both the summary and the individual Board responses to the Superintendent. Staff will also forward an information copy of the summary to the individual Board members.

6. **Column 3 (Superintendent's Planning Priority).** After reviewing the Board members' responses to columns 1 and 2, the Superintendent completes column 3 by answering the question: "What planning priority do I set for this item?" The

five-point scale for responses ranges from 1 (Very Low) to 5 (Very High), indicating how important the superintendent believes that item is on the basis of the board members' assessments in columns 1 and 2 and his own assessment of the item. In assigning priority values for column 3, a value of 1 or 2 indicates less emphasis, a value of 3 indicates maintenance of effort, and a value of 4 or 5 indicates increased emphasis for the item.

7. **Superintendent's Meeting with Individual Board Members.** The Superintendent meets individually with each Board member to discuss and clarify the ratings given under columns 1, 2, and 3. At that time, a Board member may reassess and change the values assigned to items in columns 1 and 2. The Superintendent may also reassess and change the value assigned to items in column 3.

8. **Column 5 (Public Value Index).** During the Superintendent's meeting with each individual Board member (step 7), the Superintendent and Board member also discuss column 5 ratings for each item. Column 5 is then completed by the Superintendent and Board member by answering the question: "To what extent does the community value this item?" The three-point scale for this response is: 1.0 (Low Value), 1.2 (Moderate Value), and 1.5 (High Value). These ratings will be finalized in step 10. The intent of the question is to reflect the expectations, needs, and perceptions of the community as a whole, as the "voice of the customer" for the school district.

9. **Updated Instrument.** After completing steps 7 and 8, the Superintendent and Board members forward their revised responses to the Director of Planning and Policy. A working draft of the instrument, which aggregates the responses, will then be prepared and provided to the Superintendent and Board members.

10. **School Board Workshop for Column 5.** In a workshop setting, the Superintendent and School Board review the preliminary ratings for items under column 5 and collaboratively agree to an assigned rating for each item. This agreement is then approved by the Board at a regular School Board meeting.

11. **Comments.** In each Comments section, Board members' suggestions for improvements should be as specific as possible. Comments will be summarized by staff.

12. **Completed Instrument.** Columns 4 and 6, together with composite scores for each category, will be calculated by staff as follows:
    (a) Column 4 (Improvement Ratio). Column 4 is calculated by dividing column 3 by column 2 for each item. The calculation will be completed by staff and used in computing column 6.
    (b) Column 6 (Weighted Score). Column 6 is calculated by multiplying column 1 times column 4 times column 5 for each item. The weighted scores can then be rank ordered to determine which items should be assigned the highest priority. Note that a higher weighted score indicates a higher priority.
    (c) Composite Scores for Categories. Composite scores will also be computed for each of the seven categories (Leadership, Information, Analysis, etc.) by averaging the scores of the respective criteria for that category. The resulting composite scores, together with the rankings in column 6, will be used to complete Step 13.

    This completes the assessment instrument (see step 14).

13. **Action Plan.** The Superintendent develops the Action Plan for areas identified in Step 12. A limited number of items, usually two to three but not more than five, will be selected for action planning. Other considerations, such as budgeting or statutory constraints, may also affect the selections.

14. **School Board Review.** The completed assessment instrument and the Superintendent's Action Plan are submitted to the School Board for review at a regular School Board meeting.

    In the initial application, Step 14 will also focus on reviewing and refining the process and instrument based on results of the initial experience.

Summary of Steps

1. **Portfolio.** Superintendent prepares portfolio documenting performance for each item on assessment instrument.

2. **Distribution of Instrument.** Staff distributes assessment instrument and portfolio to Board members.

3. **Clarification.** Individual Board members contact Superintendent or designee to clarify assessment instrument and portfolio.

4. (a) Column 1 (Priority to School Board Members). Board member: "In what order do I want the Superintendent to address the criteria?" A five-point scale is used: 1 (No Action Required) to 5 (Immediately), indicating order of importance for each item.
   (b) Column 2 (How Is the Superintendent Doing?). Board member: "How is the Superintendent doing on this item?" A five-point scale is used: 1 (Very Poor) to 5 (Very Well), indicating Board member's assessment of Superintendent's performance for each item during the past year.

5. **Collection of Initial Responses.** Board member forwards initial responses to Director of Planning and Policy. Staff summarizes responses and forwards summary and individual responses to Superintendent. Staff also forwards information copy of summary to individual Board members.

6. **Column 3 (Superintendent's Planning Priority).** Superintendent: "What planning priority do I set for this item?" A five-point scale is used: 1 (Very Low) to 5 (Very High), indicating how important Superintendent believes each item is. For column 3, a value of 1 or 2 indicates less emphasis, a value of 3 indicates maintenance of effort, and a value of 4 or 5 indicates increased emphasis for the item.

7. **Superintendent's Meeting with Individual Board Members.** Superintendent meets individually with Board members to discuss ratings in columns 1, 2, and 3.

8. **Column 5 (Public Value Index).** In meeting with individual Board members, Superintendent and Board member discuss column 5 ratings for each item. Column 5 is completed by Superintendent and Board member by answering the question: "To what extent does the community value this item?" A three-point scale is used: 1.0 (Low Value), 1.2 (Moderate Value), and 1.5 (High Value).

9. **Updated Instrument.** After completing steps 7 and 8, Superintendent and Board members forward their responses to Director of Planning & Policy. Staff prepares working draft of the instrument, with aggregated responses, for Superintendent and Board members.

10. **School Board Workshop for Column 5.** In workshop setting, Superintendent and School Board review preliminary ratings for items in column 5 and collaboratively agree to an assigned rating for each item.

11. **Comments.** Board members' suggestions for improvements should be as specific as possible. Staff summarizes comments.

12. **Completed Instrument.** Staff calculates columns 4 and 6 and composite score for each category.
    (a) Column 4 (Improvement Ratio). Calculated by dividing column 3 by column 2 for each item.
    (b) Column 6 (Weighted Score). Calculated by multiplying column 1 times column 4 times column 5 for each item. Weighted scores can then be rank-ordered to determine highest priority.
    (c) Composite Scores for Categories. Computed for each category (Leadership, Information, Analysis, etc.) by averaging scores of respective criteria for that category.

13. **Action Plan.** Superintendent develops Action Plan for areas identified in Step 12. Usually limited to two or three, but not more than five items.

14. **School Board Review.** Completed assessment instrument and Superintendent's Action Plan are submitted to School Board at regular Board meeting.

Sample Narrative

7.1 Has established processes for determining customer requirements and expectations on educational services provided by the district.

Through our vision statement, we have highlighted the importance of customers served by Pinellas County Schools and the commitment of Pinellas County Schools to promoting customer satisfaction.

Pinellas County Schools has implemented quality function deployment as a useful process in determining customer requirements and expectations, as well as incorporating the "voice of the customer" into the planning process. The materials developed for use in this process are contained in the portfolio. Quality function deployment begins with the voice of the customer and is designed to ensure that customers provide input into the planning and decision-making processes. The outcome of the quality function deployment process is a matrix that rank orders customer needs, while accounting for several criteria that should be examined. The criteria accounted for by quality function deployment are these: 1) the importance to the customer of meeting the needs, 2) the amount of improvement that is desired, and 3) the degree to which meeting the needs could be used to influence Pinellas County Schools' image.

An additional opportunity for obtaining customer input exists with the Collaborative Quality Council. The Collaborative Quality Council provides internal and external customers a vehicle through which their voice may be heard.

Each school in the district also has a school advisory council where internal and external customers have an opportunity to articulate their needs, concerns, and expectations regarding products, services, and relationships. Family and community members, representatives of local businesses, and others may provide input into the planning process within the school to ensure that the product (programs and services to improve the child's education and preparation for life) and service delivery are satisfactory.

Portfolio contents:

- Developing School Improvement Plans: Needs Assessment Training
- Surveys for use with the Needs Assessment Process for Quality School Improvement
- Survey Menu Blueprint 2000 Needs Assessment for Quality School Improvement
- Mission and Membership of Collaborative Quality Council

Quality Assessment of the Superintendent

Criteria by Category Board Member _____ Date _____	Priority to School Board Members	How is the Superintendent Doing?	Superintendent's Planning Priority	Improvement Ratio	Public Value Index	Weighted Score
The Superintendent: Completed by:	Col. 1 Board Members	Col. 2 Board Members	Col. 3 Supt	**Col. 4 Staff**	Col. 5 Board/ Supt	**Col. 6 Staff**
1. Leadership 1.1 Has provided for the establishment of a vision and creed for the school district that focuses on student achievement.						
1.2 Has communicated the vision and creed to all employees of the school district.						
1.3 Has used the vision and creed to determine priorities of the school district.						
1.4 Has provided guidance in the development and revision of School Board policy.						
1.5 Has used effective communication skills to provide leadership for the district.						
1.6 Treats personnel fairly and without favoritism or discrimination.						
1.7 Has facilitated the use of cross-functional teams and collaborative work groups in the district's improvement efforts.						
1.8 Has used data as a means of achieving continual improvement for educational programs.						
1.9 Deals effectively with unexpected or disturbing questions and issues in group meetings.						
1.10 Maintains a program of personal health.						
1.11 Self-assesses own strengths and needs for professional improvement.						
Leadership Comments:						

Criteria by Category Board Member _____ Date _____	Priority to School Board Members	How is the Superintendent Doing?	Superintendent's Planning Priority	Improvement Ratio	Public Value Index	Weighted Score
The Superintendent: Completed by:	Col. 1 Board Members	Col. 2 Board Members	Col. 3 Supt	Col. 4 Staff	Col. 5 Board/ Supt	Col. 6 Staff
2. Information and Analysis 2.1 Has offered professional advice to the School Board on items requiring Board action with appropriate recommendations based on thorough study and analysis.						
2.2 Has responded to concerns of the School Board.						
2.3 Has kept the School Board informed of the fiscal condition of the school district on a regular basis.						
2.4 Has provided the Board with timely information on pertinent issues related to the district.						
2.5 Has provided the community with timely information regarding school district programs and activities.						
2.6 Has provided schools and divisions with timely information regarding district programs and activities.						

Information and Analysis Comments:

Criteria by Category Board Member _____ Date _____	Priority to School Board Members	How is the Superintendent Doing?	Superintendent's Planning Priority	Improvement Ratio	Public Value Index	Weighted Score
The Superintendent: Completed by:	Col. 1 Board Members	Col. 2 Board Members	Col. 3 Supt	Col. 4 Staff	Col. 5 Board/ Supt	Col. 6 Staff
3. Strategic Quality Planning 3.1 Has established a district-wide, strategic direction for improving student achievement.						
3.2 Has provided for a continuing system of planning and budgeting designed to meet the educational needs of students and the community.						
3.3 Has developed goals and objectives that are articulated in the District Comprehensive Plan.						
3.4 Has developed a district budget that reflects the goals and objectives of the District Comprehensive Plan.						
3.5 Has provided for the development of a five-year plan to address facility needs of the district.						

Strategic Quality Planning Comments:

Criteria by Category Board Member _____ Date _____	Priority to School Board Members	How is the Superintendent Doing?	Superintendent's Planning Priority	Improvement Ratio	Public Value Index	Weighted Score
The Superintendent: Completed by:	Col. 1 Board Members	Col. 2 Board Members	Col. 3 Supt	Col. 4 Staff	Col. 5 Board/ Supt	Col. 6 Staff
4. Human Resource Development and Management 4.1 Has provided resources to assist in employee professional development and improvement.						
4.2 Has provided for participation of stakeholders in decision making and in the development of policy and procedures.						
4.3 Has communicated to teachers, students, and staff the goals and expectations of the school district.						
4.4 Has provided for continual professional education for professional and supporting-services staff.						
4.5 Has provided career advancement opportunities for competent staff.						
4.6 Has advocated using needs assessment information to determine training needs of the district's personnel.						
4.7 Has provided for an employee orientation program.						
4.8 Has provided for training in quality philosophy and methods.						
4.9 Has addressed the well-being of the district's employees through such factors as health, safety, and job satisfaction.						

Human Resource Development and Management Comments:

Criteria by Category Board Member _____ Date _____	Priority to School Board Members		How is the Superintendent Doing?	Superintendent's Planning Priority	Improvement Ratio	Public Value Index	Weighted Score
The Superintendent: Completed by:	Col. 1 Board Members		Col. 2 Board Members	Col. 3 Supt	**Col. 4 Staff**	Col. 5 Board/ Supt	**Col. 6 Staff**
5. Management of Process Quality 5.1 Has introduced programs in compliance with federal, state, and local rules and regulations.							
5.2 Has provided for processes to ensure quality services in meeting the needs of the school district.							
5.3 Has used evaluation and testing information to determine current levels of educational achievement in the district.							
5.4 Is accessible to School Board members and others.							
5.5 Has provided for enforcement of School Board policy.							
5.6 Has provided a school improvement planning process that translates customer needs into educational designs to improve student achievement.							
5.7 Has provided a school improvement process for reviewing school plans.							
5.8 Has provided for programs that promote readiness to start school.							
5.9 Has provided for sound fiscal management of the district.							
5.10 Has encouraged the development of continual improvement of products and services from suppliers of the district.							
5.11 Has provided for the maintenance of school district facilities and sites.							
5.12 Uses quality improvement tools such as control charts, fishbone diagrams, affinity charts, and quality function deployment to improve student achievement.							

Management of Process Quality Comments:

Criteria by Category Board Member _____ Date _____	Priority to School Board Members		How is the Superintendent Doing?	Superintendent's Planning Priority	Improvement Ratio	Public Value Index	Weighted Score
The Superintendent: Completed by:	Col. 1 Board Members		Col. 2 Board Members	Col. 3 Supt	**Col. 4 Staff**	Col. 5 Board/ Supt	**Col. 6 Staff**
6. Quality and Operational Results 6.1 Student academic performance results are improving as compared to: (a) similar school districts,							
(b) previous longitudinal district data, and							
(c) previous longitudinal school data.							
6.2 Student behavior is improving as compared to prior-year reports.							
6.3 Student and employee safety within the schools is improving as compared to prior-year reports.							
6.4 Student dropout rates are decreasing as compared to: (a) similar school districts,							
(b) prior-year district data, and							
(c) prior-year school data.							
6.5 Entering student readiness to learn is improving as compared to: (a) similar school districts,							
(b) prior-year district data, and							
(c) prior-year school data.							
6.6 Community support for public education is improving as compared to previous years.							
6.7 Energy costs are less as compared to prior years.							
6.8 Costs for administrative services have been reduced as compared to prior years.							
6.9 Teacher turnover rates have improved.							

Quality and Operational Results Comments:

Criteria by Category Board Member _____ Date _____	Priority to School Board Members	How is the Superintendent Doing?	Superintendent's Planning Priority	Improvement Ratio	Public Value Index	Weighted Score
The Superintendent: Completed by:	Col. 1 Board Members	Col. 2 Board Members	Col. 3 Supt	**Col. 4 Staff**	Col. 5 Board/ Supt	**Col. 6 Staff**
7. Customer Focus and Satisfaction 7.1 Has established processes for determining customer requirements and expectations on educational services provided by the district.						
7.2 Has established a process for determining the relative satisfaction of the district's services to its customers.						
7.3 Has established a process for determining the relative importance of the district's services to its customers.						
7.4 Has established processes to determine the responsiveness of district personnel to customer complaints.						
7.5 Has used information regarding customer requirements and expectations to provide continuous improvement of educational services by the district.						
7.6 Is receptive to new ideas regarding community issues.						
7.7 Fosters the respect and support of the business community regarding school operations.						
7.8 Promotes the development of partnerships between schools and the business community.						

Customer Focus and Satisfaction Comments:

General Comments:

A portfolio of documentation and system evidences is created. In effect the Cabinet puts together a quasi-Baldrige application for the district as it answers the criteria of the Superintendent's evaluation. Due to the comprehensive nature of the evaluation criteria, alignment of the district ripples through major divisions and key process. Simultaneously, leadership's awareness and constancy of purpose is strengthened throughout the organization. The integrated system of the Baldrige criteria builds the linkages within the organization. The existence of a Baldrige-based Superintendent's evaluation sends a strong signal of commitment from both the School Board and the Superintendent for the value and importance of using quality principles.

The first component of the new, transformed system has been put in place. Each level must have a complimentary system in order to support the empowered learner. At school level, the most comprehensive self-assessment tool is the Superintendent's Quality Challenge. These materials and the supporting processes of consultants are entirely optional to schools and departments in Pinellas.

This implementation activates both the school and the community level in the Quality Culture diagram as it connects schools with community volunteers trained to assist

them in the process of quality-based improvement. The training and use of over 130 consultants from the business community and within the district-at-large is a strategic linchpin. These community representatives have become thoroughly knowledgeable and supportive of the kind of assessment tools being used by the public school system in Pinellas. As a result, the degree of professional involvement of the community has exceeded all expectations.

The consultants are a new breed of volunteers in the schools. The needs of education are no longer met by asking the community to assist schools by baking cookies. Schools need management assistance in strategic planning, design, and analysis of high performance integrated systems. The flipside of this partnership is that the school district is actually giving back to the community as much as it is getting from it. The district initiative has seeded local businesses, healthcare, service, and community agencies with a more highly knowledgeable staff capable of applying Baldrige criteria to their own business processes. The collective knowledge of the community is increasing. This is evident by the growing number of state and national quality award recipients in the local vicinity. (Copies of the Superintendent's Quality Challenge are included in the Appendices.)

Currently in pilot use is also a shortened version of the criteria which can be used by principals to evaluate an individual school. Formerly, principal and school evaluations consisted primarily of checklists of what has been affectionately referred to as "bugs, busses, and beans." Principals have been most often held accountable for the physical operations of the school with little emphasis on student performance trends or their responsibility to produce high performance learning environments. The SQC School Summary Assessment follows the format of the Superintendent's Assessment. It offers the same advantages as the Superintendent's assessment for the next layer of the organization, i.e., the school and the principal.

Superintendent's Quality Challenge—School Summary Assessment

School _____ Name _____ Date _____	The criteria on the left and the continuum on the right are designed to measure progress toward creating and managing a more effective school learning system. For each criterion, check the box that best describes the classroom.					
The School as a System:	No systems are evident	Plans for systems are developed	Some processes and systems are in operation	Many systems are in operation	Systemic approach to all operations	Preventative and fact-based system
1. Leadership						
Has established and communicated the vision to all school staff and stakeholders.						
Uses the vision and goals to guide decision making in determining priorities for the school.						
Facilitates the use of cross-functional teams in the school's improvement efforts.						
Uses quality improvement principles for encouraging and improving school processes.						
Has processes in place to be personally involved in recognizing everyone's contribution to improvement.						
Has developed partnerships with the community to improve quality and communicate goals.						
Visits classrooms and regularly communicates progress toward school goals.						
2. Information and Analysis						
Uses comparison and benchmarking data to assess school improvement progress including student performance, operational performance, and student and employee satisfaction.						
Has provided the staff with timely data and information for planning, day-to-day management, and evaluation of quality.						
Has developed information systems to monitor results and support plans for school improvement.						

School _____ Name _____ Date _____	The criteria on the left and the continuum on the right are designed to measure progress toward creating and managing a more effective school learning system. For each criterion, check the box that best describes the classroom.					
The School as a System:	No systems are evident	Plans for systems are developed	Some processes and systems are in operation	Many systems are in operation	Systemic approach to all operations	Preventative and fact-based system
3. Strategic Quality Planning						
Involves all stakeholders in a continuing system of planning and budgeting designed to identify and meet the educational needs of students and the community.						
Has provided for the development of goals and objectives in the school's improvement plan that are aligned to school, district, and state priorities.						
Has developed a school budget that reflects the goals and objectives of the school improvement plan.						
Has a process to evaluate the effectiveness of the school improvement planning process.						
4. Human Resource Development and Management						
Has facilitated employee involvement in teams, decision-making, and process improvement.						
Assesses and monitors the improvement of student, staff, and parent satisfaction.						
Has provided for an employee orientation program.						
Has encouraged and provided for continuous professional education for professional and supporting services staff that includes needs assessment and training in quality methods and philosophy.						

School _____ Name _____ Date _____	The criteria on the left and the continuum on the right are designed to measure progress toward creating and managing a more effective school learning system. For each criterion, check the box that best describes the classroom.					
The School as a System:	No systems are evident	Plans for systems are developed	Some processes and systems are in operation	Many systems are in operation	Systemic approach to all operations	Preventative and fact-based system
5. Management of Processes						
Instructional experiences are based on the PDSA cycle.						
Has provided a clear set of strategies for parents and community to support the school.						
Has provided for a safe physical environment by developing a process for ongoing custodial care and maintenance.						
Has introduced the use of quality improvement tools such as control charts, fishbone diagrams, affinity charts, and quality function deployment to improve students' performances based on the PDSA cycle.						
Has provided for a system of business and support processes that continually improves using the PDSA cycle.						
*6. Quality and Operational Results (refer to *)*		Baseline data	Limited results*	Satisfactory results*	Good results*	Excellent Results*
Student academic performance results are improving as compared to similar schools.						
The level of student and staff satisfaction and involvement is improving as compared to similar schools.						
The level of school discipline and safety is improving as compared to similar schools.						

School _____ Name _____ Date _____	The criteria on the left and the continuum on the right are designed to measure progress toward creating and managing a more effective school learning system. For each criterion, check the box that best describes the classroom.					
The School as a System:	No systems are evident	Plans for systems are developed	Some processes and systems are in operation	Many systems are in operation	Systemic approach to all operations	Preventative and fact-based system
The cost effectiveness of business and support processes is improving as compared to similar schools.						
The level of parent and community involvement is improving as compared to similar schools.						
7. Customer Focus and Satisfaction						
Has provided opportunities for the community, parents, students, and staff to give their points of view in the development of improvement goals for the school.						
Has established processes for determining customer requirements and expectations for educational services provided by the school.						
Has provided a process for summarizing formal and informal complaints to use in identifying improvement opportunities.						
Has provided for a system to build and maintain positive customer relationships.						
Has provided a clear set of strategies for parents and community to support the school.						

Key Terms

Benchmarking - Identifying information about best practices to set stretch goals and compare current results.

Operation - The way of functioning.

Process - A systematic and defined method of doing something generally involving a number of steps or operations.

Stretch Goals - Extension of achievement level to the outermost limit, difficult to attain, and used to monitor progress toward the goal.

System - A system of well-defined and well-designed processes for meeting the organization's requirements.

Superintendent's Quality Challenge—Classroom System Assessment

School _____ Name _____ Date _____	The criteria on the left and the continuum on the right are designed to measure progress toward creating and managing a more effective school learning system. For each criterion, check the box that best describes the classroom.					
The School as a System:	No systems are evident	Plans for systems are developed	Some processes and systems are in operation	Many systems are in operation	Systemic approach to all operations	Preventative and fact-based system
1. Leadership						
Develops and maintains a classroom mission involving stakeholders.						
Integrates the use of quality improvement principles in the daily classroom operations.						
Aligns the classroom mission with the school improvement plan to guide decision making and establish learning and operational priorities for the classroom.						
Joins with parents and other groups to continually improve classroom, school, and community efforts.						
2. Information and Analysis						
Maintains information on issues, needs, and operations that support the classroom goals and align with the school improvement plan.						
Uses comparison and benchmarking data to assess the rate of student improvement.						
Provides the students with timely information, materials, and processes to increase student performance.						
Has appropriate information systems to routinely assess classroom results and support plans for academic and operational improvement.						

School _____ Name _____ Date _____	The criteria on the left and the continuum on the right are designed to measure progress toward creating and managing a more effective school learning system. For each criterion, check the box that best describes the classroom.					
The School as a System:	No systems are evident	Plans for systems are developed	Some processes and systems are in operation	Many systems are in operation	Systemic approach to all operations	Preventative and fact-based system
3. Strategic Quality Planning						
Involves stakeholders in a continual system of planning designed to identify and meet the educational needs of students in the classroom and support the school improvement plan.						
Provides for the development of classroom goals and objectives that are aligned to the next level/course, the school improvement plan, and state requirements.						
Allocates time and resources consistent with the goals and objectives of the classroom plan.						
Develops a plan that includes stretch goals or benchmarks that focus on student achievement.						
4. Human Resource Development and Management						
Encourages the use of cooperative approaches and teams in learning and decision-making processes.						
Has regular communication and recognition for progress toward goals for students and others involved.						
Has a system to provide assistance for students requiring help and orientation for new students.						
Assesses and monitors the improvement of student involvement and well-being.						

School _____ Name _____ Date _____	The criteria on the left and the continuum on the right are designed to measure progress toward creating and managing a more effective school learning system. For each criterion, check the box that best describes the classroom.					
The School as a System:	No systems are evident	Plans for systems are developed	Some processes and systems are in operation	Many systems are in operation	Systemic approach to all operations	Preventative and fact-based system
5. Management of Process						
Has a standard process to design, deliver, and improve teaching and learning processes. (PDSA)						
Has a physical environment that supports the achievement of strategic planning goals.						
Uses quality improvement tools such as control charts, fishbone diagrams, and affinity charts to improve student performance.						
Has operational and support processes that are standardized and continually improving using the PDSA cycle.						
Communicates to previous level/course instructor, and parents what is needed from them for student success.						
6. Quality and Operational Results (refer to *)		Baseline data	Limited results*	Satisfactory results*	Good results*	Excellent Results*
Student academic performance results are improving. *						
The levels of student involvement and satisfaction are improving. *						
The levels of parent and community involvement and satisfaction are improving. *						
The level of classroom management and safety is improving. *						

School _____ Name _____ Date _____	The criteria on the left and the continuum on the right are designed to measure progress toward creating and managing a more effective school learning system. For each criterion, check the box that best describes the classroom.					
The School as a System:	No systems are evident	Plans for systems are developed	Some processes and systems are in operation	Many systems are in operation	Systemic approach to all operations	Preventative and fact-based system
7. Customer Focus and Satisfaction						
Provides for stakeholders to give their input in the development of improvement objectives for the classroom.						
Summarizes formal and informal complaints to use in identifying improvement opportunities.						
Builds, maintains, and improves student, parent, and community relationships.						
Determines next level/course expectations and levels of satisfaction.						

Key Terms

Benchmarking - Identifying information about best practices to set stretch goals and compare current results.

Operation - The way of functioning.

Process - A systematic and defined method of doing something generally involving a number of steps or operations.

Stretch Goals - Extension of achievement level to the outermost limit, difficult to attain, and used to monitor progress toward the goal.

System - A system of well-defined and well-designed processes for meeting the organization's requirements.

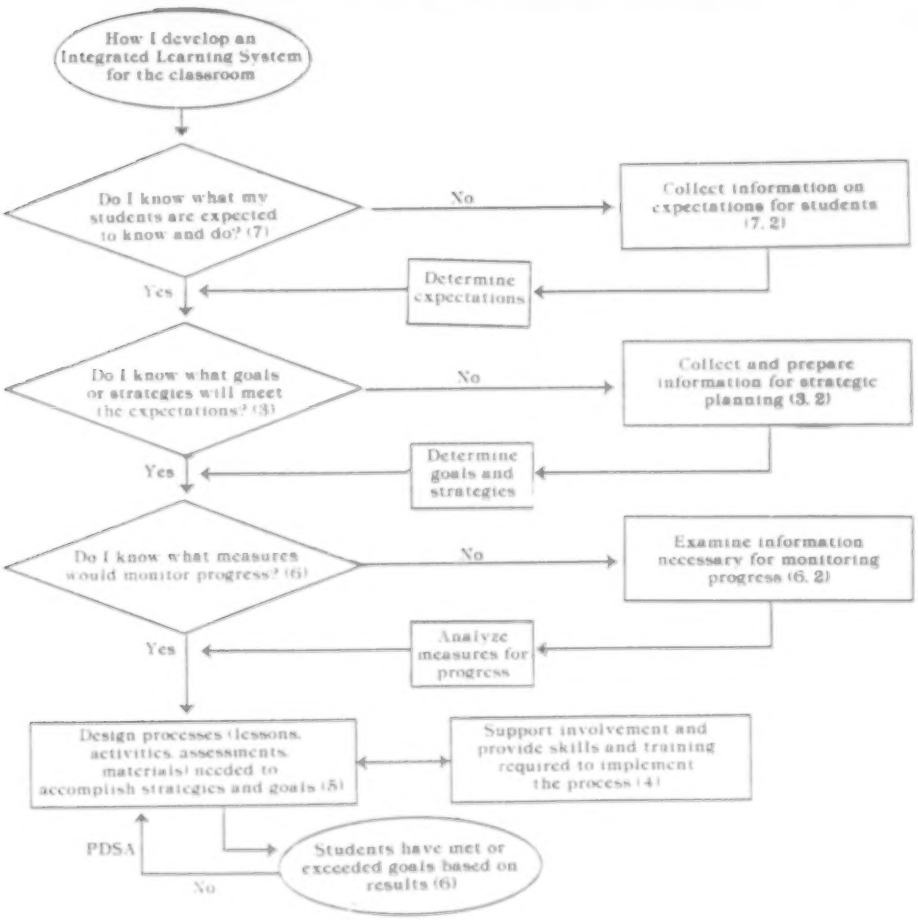
A similar shortened version is being piloted and is available for classroom use by teachers. The intent is to eventually replace the existing teacher evaluation instrument which focuses attention on the individual. Consistent with quality science, the emphasis will be on the system that the teacher manages—the classroom environment. An integrated criteria approach assures that linkages exist to support a high-performance learning system. Performance is determined by the level of systems present to support the desired results. The descriptors used range from "No systems are evident" to "the existence of a Preventative and fact-based system." The emphasis is on continually improving each important area of the integrated system.

Pilot work is being done to incorporate the same system at the student level. Consistent with the Pinellas vision, the student must ultimately have the skills to manage his or her own high performance system of learning.

What Does Baldrige Look Like in the Classroom System?

Flow charts have been developed by teacher Mary Beth Corace to provide a step-by-step process to assist teachers who are developing Baldrige integrated systems in the classroom. The first flow chart is a view at the macro level. Each flow chart that follows gives the supporting detail for the first. When a teacher follows the sequence of steps, the familiar 7.0, 3.0, 6.0 structure emerges. It is the same as the Baldrige linkage diagrams explained earlier. The flow charts help the teacher understand the relationships of the categories (and subsequently the criteria) that are a part of the classroom self-assessment.

Integrated Learning System


How I develop an Integrated Learning System for the classroom
Do I know what my students are expected to know and do? (7)
No
Collect information on expectations for students (7, 2)
Yes
Determine expectations
Do I know what goals or strategies will meet the expectations? (3)
No
Collect and prepare information for strategic planning (3, 2)
Yes
Determine goals and strategies
Do I know what measures would monitor progress? (6)
No
Examine information necessary for monitoring progress (6, 2)
Yes
Analyze measures for progress
Design processes (lessons, activities, assessments, materials) needed to accomplish strategies and goals (5)
Support involvement and provide skills and training required to implement the process (4)
PDSA
No
Students have met or exceeded goals based on results (6)

An integrated learning system is a set of well-defined and well-designed processes needed to meet the classroom's continual improvement of learning and operational requirements. This flow chart is a guide to align this classroom system with the next grade level, school, district, and state. The development of this system is based on the Baldrige Criteria and is numbered accordingly. The classroom teacher can use this as a tool to help determine the steps involved in creating the system needed to accomplish the mission of the class. Each cylinder is also flow-charted to offer help in developing the processes needed to align the system. The more detailed flow charts, provided for each of the Baldrige categories, help the teacher focus on the classroom specifics that will be a part of the total system.

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The more detailed flow charts, provided for each of the Baldrige categories, help the teacher focus on the classroom specifics that will be a part of the total system.

Integrated Learning System

Customer Focus (7)

How I determine what my students are expected to know and do (7)
Are the expectations for students for the next grade/course defined? (7)
No
Yes
Collect through some research technique* expectations from the next grade level, school, district, curriculum, Blueprint 2000, and those who use the work of my students (7, 2)
Summarize formal and informal comments to identify improvement opportunities
Analyze information and data for common attributes to obtain current and future expectations for students (7, 2)
Determine student exit requirements from stakeholders (7)
I know what my students are expected to know and do (7)

Teachers must know what their students are expected to know and do when they leave their class. These expectations may already be defined by the next grade level or course and are easily accessible. If not, some research techniques (*surveys, interviews, focus groups, venn and spider diagrams, etc.) and formal and informal comments will have to be used to determine the expectations. These, aligned with the mission of the class, school, district, and state (Blueprint 2000), will define the expectations for students. Over time and with continual improvement, the level of satisfaction will increase with future teachers of your students.

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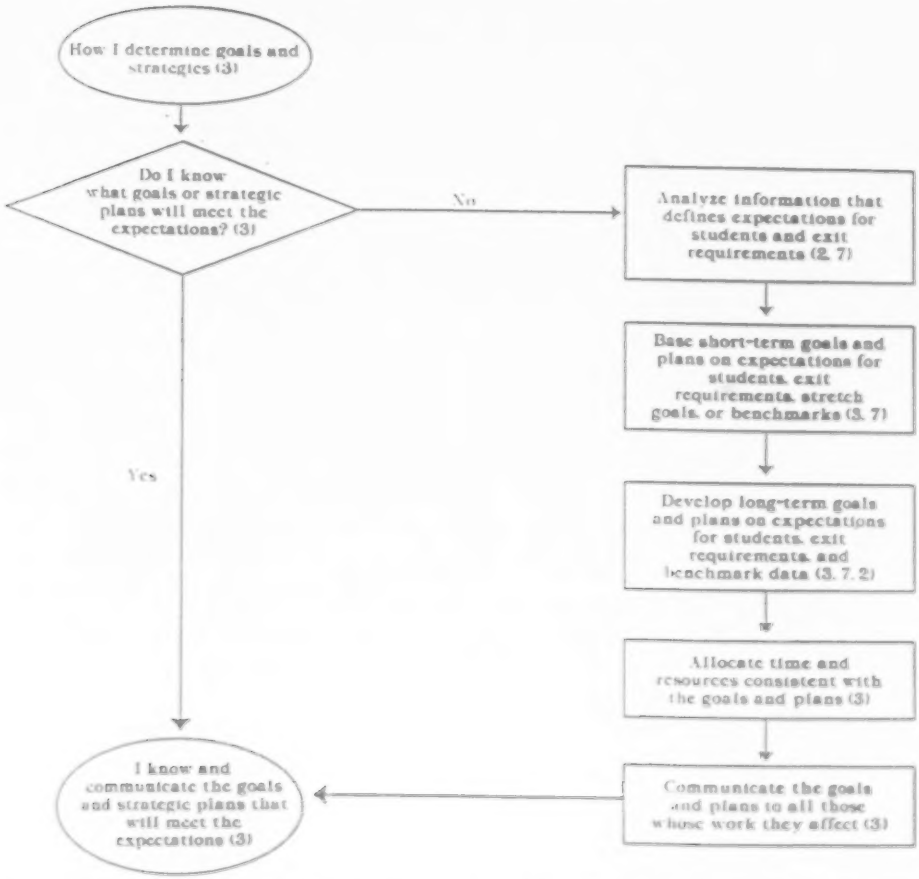
Integrated Learning System

Strategic Planning (3)


How I determine goals and strategies (3)
Do I know what goals or strategic plans will meet the expectations? (3)
No
Yes
Analyze information that defines expectations for students and exit requirements (2, 7)
Base short-term goals and plans on expectations for students, exit requirements, stretch goals, or benchmarks (3, 7)
Develop long-term goals and plans on expectations for students, exit requirements, and benchmark data (3, 7, 2)
Allocate time and resources consistent with the goals and plans (3)
Communicate the goals and plans to all those whose work they affect (3)
I know and communicate the goals and strategic plans that will meet the expectations (3)

Short- and long-term planning for the classroom is based on expectations for students. Teachers may want to prioritize expectations to determine strategies and goals that will meet the requirements needed for exiting one grade/course and entering another. Time and resources would need to be allocated to sufficiently support the goals and plans. Short- and long-term plans include the use of stretch goals or benchmarks to maintain an improvement cycle in the planning.

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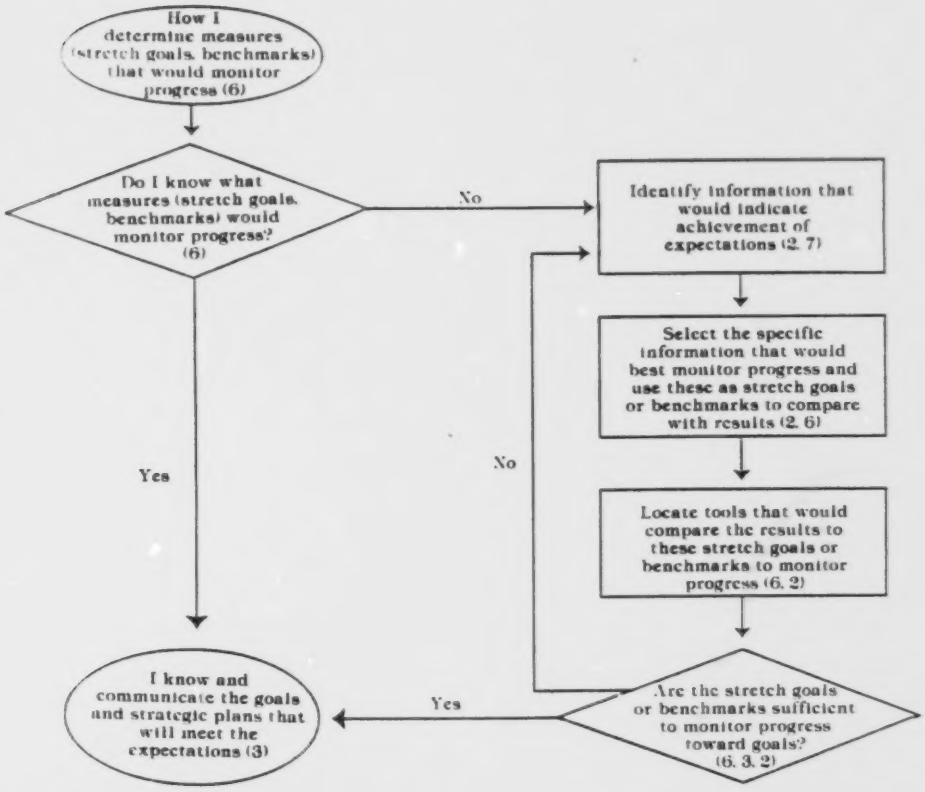
Integrated Learning System

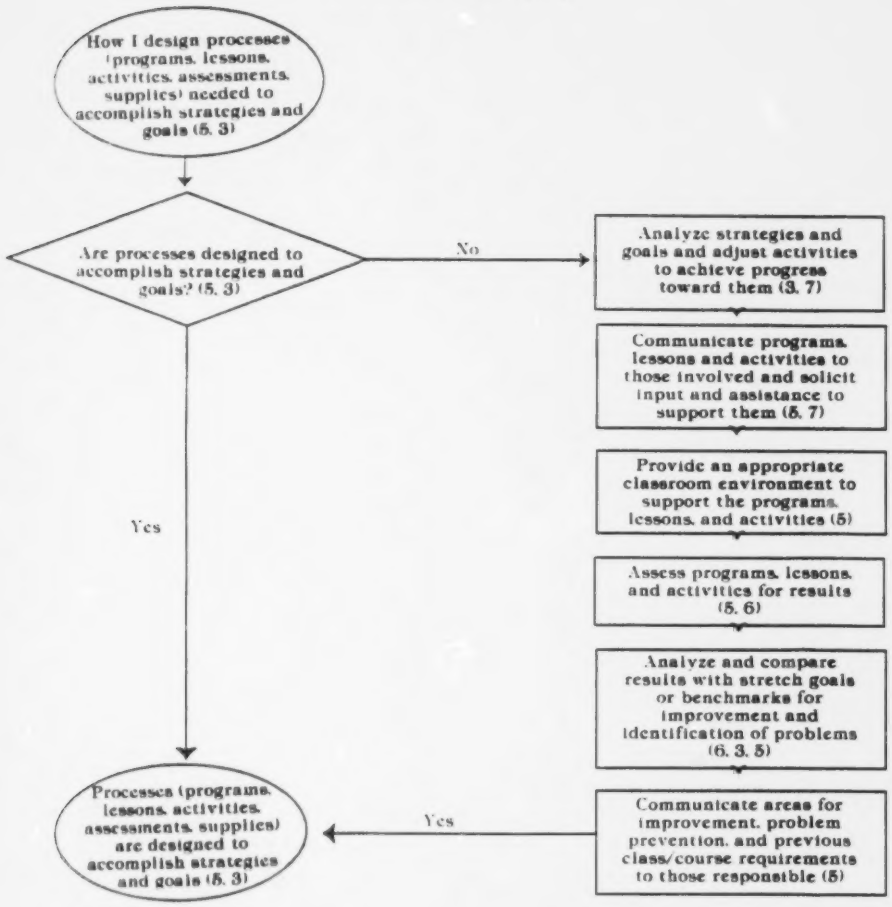
Results (6)


How I determine measures (stretch goals, benchmarks) that would monitor progress (6)
Do I know what measures (stretch goals, benchmarks) would monitor progress? (6)
No
Identify information that would indicate achievement of expectations (2, 7)
Select the specific information that would best monitor progress and use these as stretch goals or benchmarks to compare with results (2, 6)
Locate tools that would compare the results to these stretch goals or benchmarks to monitor progress (6, 2)
Are the stretch goals or benchmarks sufficient to monitor progress toward goals? (6, 3, 2)
No
Yes
Yes
I know and communicate the goals and strategic plans that will meet the expectations (3)

Once expectations and strategic plans and goals have been established, information describing what successful accomplishment of these goals "looks like" needs to be gathered. It might "look like" the highest score on a standardized test, an exemplary third grade class, or high levels of involvement by students in community programs as indicated by bar graph and written information obtained from a particular district. This information could then become the stretch goal or benchmark, and a teacher could use this as the highest standard and could chart progress toward it. Run, control, Pareto, frequency charts, and check sheets are tools could help in the monitoring process. Bubble Charts, relations, and scatter diagrams might assist in determining stretch goals and benchmarks.

Integrated Learning System

Processes (5)


How I design processes (programs, lessons, activities, assessments, supplies) needed to accomplish strategies and goals (5, 3)
Are processes designed to accomplish strategies and goals? (5, 3)
No
Yes
Analyze strategies and goals and adjust activities to achieve progress toward them (3, 7)
Communicate programs, lessons and activities to those involved and solicit input and assistance to support them (5, 7)
Provide an appropriate classroom environment to support the programs, lessons, and activities (5)
Assess programs, lessons, and activities for results (5, 6)
Analyze and compare results with stretch goals or benchmarks for improvement and identification of problems (6, 3, 5)
Communicate areas for improvement, problem prevention, and previous class/course requirements to those responsible (5)
Yes
Processes (programs, lessons, activities, assessments, supplies) are designed to accomplish strategies and goals (5, 3)

Teachers spend much of their time designing processes to teach, assess, and improve their instruction. Creating these to align to the strategic goals and plans requires continuous PDSA so progress and problems can be managed and communicated to all those who are involved for assistance and improvements. Many tools can be used to help teachers, students, and parents develop and improve the process, e.g., fishbone and affinity diagrams and competency matrices.

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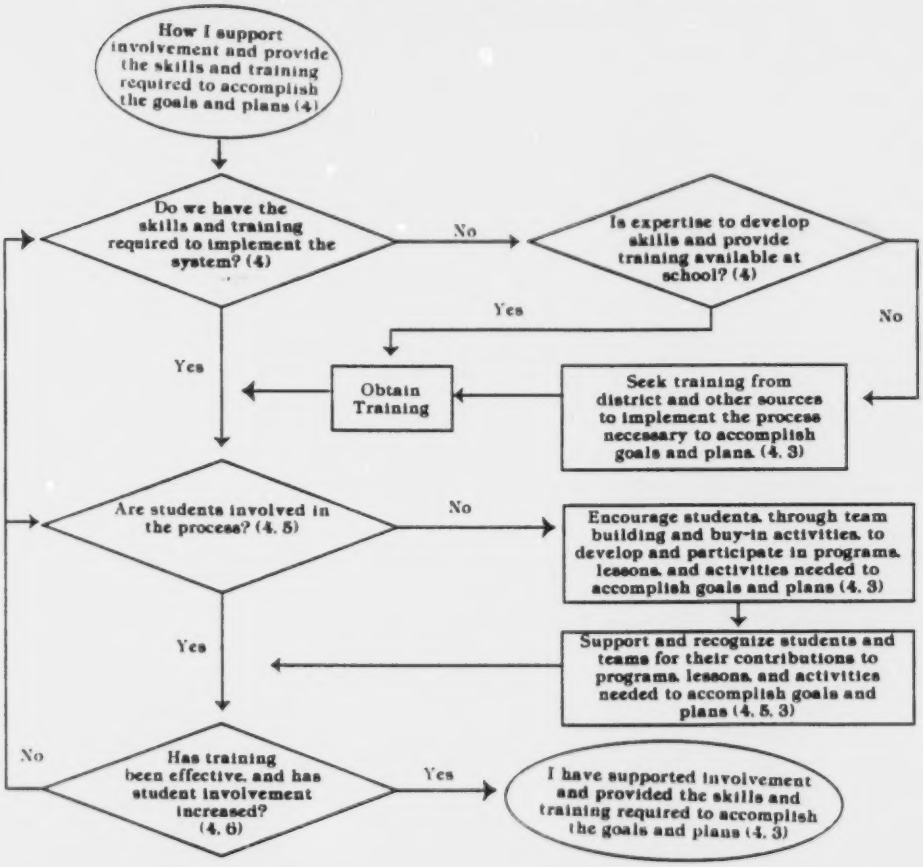
Integrated Learning System

Human Resource Development (4)


How I support involvement and provide the skills and training required to accomplish the goals and plans (4)
Do we have the skills and training required to implement the system? (4)
No
Is expertise to develop skills and provide training available at school? (4)
Yes
No
Yes
Obtain Training
Seek training from district and other sources to implement the process necessary to accomplish goals and plans. (4, 3)
Are students involved in the process? (4, 5)
No
Encourage students, through team building and buy-in activities, to develop and participate in programs, lessons, and activities needed to accomplish goals and plans (4, 3)
Yes
Support and recognize students and teams for their contributions to programs, lessons, and activities needed to accomplish goals and plans (4, 5, 3)
No
Has training been effective, and has student involvement increased? (4, 6)
Yes
I have supported involvement and provided the skills and training required to accomplish the goals and plans (4, 3)

In order to accomplish goals, teachers and students design and participate in processes that may require training. Training needs to be effective and evaluated to help increase learning and accomplish goals. Student contributions are essential. Teachers promote involvement by encouraging individuals and teams through support and recognition.

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Decision-Making Process

The organization-wide decision-making system is another example of a common system component that will drive alignment at all levels of the organization.

This decision-making system is designed to be non-intrusive with built in accountability provisions. The accountability provisions come into play only when the system breaks down and a supervisor has to determine why the proper process was not followed. Otherwise, compliance is monitored by all stakeholders through their participation in meeting the minimum standards of the system.

This is clearly not the old decision matrix! It is based on quality principles to ensure alignment with the school system's vision and to standards of improvement in student performance. It is extremely useful in communicating expectations of the school district. It will signal that stakeholders have opportunities and responsibilities to share in decision making. It will introduce a degree of accountability and uniformity of expectations.

District Decision System

Purpose

Create a decision system that is capable of:

- Documenting key decisions
- Standardizing the decision process
- Establishing standards for the implementations

Advantages

- Definable
- Repeatable
- Predictable
- Aligned to mission
- Continually improving

Key Components

- Alignment to student achievement
- Systemic thinking
- Resource considerations, long and short
- Attention to customer and supplier relationships
- Continual improvement of the decision process
- Communication to all stakeholders

- Aligned with Superintendent's Quality Challenge criteria
- Based on criteria to determine which decisions are included in the decision matrix
- Documented minimum standards for each step in the decision making process

Criteria

The following criteria are required for decisions to be included on the District Decision Matrix:

The decision must:

1. Require coordination across division lines for implementation.
2. Include rationale as to why the decision cannot be made at a level closer to the student.
3. Meet and maintain the District Decision System standards.

Standards

The following standards are minimum requirements for decisions on the District Decision Matrix:

1. The decision must support the vision, mission, and beliefs of the district; it must be traceable to district priorities and support improved student performance.
2. The need for a decision is documented and based on valid internal or external customer data.
3. The decision process may be documented in the form of a flow chart or written documentation and includes process steps and relevant customer supplier relationships.
4. The decision includes an evaluation component that uses customer data to assess the effectiveness over time.

5. The decision process includes an improvement step based on the evaluation of results.

6. The decision includes a "sunset" and review provision for all components that require written reports, or data gathering.

7. The decision is classified to the primary Superintendent's Quality Challenge category, and key linkages to other decisions are identified.

8. The decision considers implications for capital and operational resources for the near-term (1-3 years) and long-term (5 years and out).

District Decisions: A Five-Step Process

Step 1: Define the Decision

What and Why

- State the problem or need for decision. Determine if the decision meets the district decision criteria to be included on the matrix.

- Identify the relationship of the decision to student achievement or priority objectives

For Whom

- Determine how to identify decision customers.

- Identify primary customer.

- Identify others impacted.

Customer Requirements

- Consider internal and external customers.

- Gather valid customer input.
- Identify and apply applicable policies, laws, and regulations that impact requirements.

Alignment

- Verify alignment to school vision, mission, and goals.
- Document expectations, outcomes, and objectives.
- Identify key SQC linkages.
- Verify that the decision cannot be made at a lower level.

Step 2: Implementation Strategies and Document Plan

Implementation Strategies

- Sequence implementation strategies.
- Develop timelines.
- Select key checkpoints in the implementation schedule.
- Develop evaluation plan including results measure.

Resources Required

- Determine short-term resource requirements.
- Identify long-term resource implications.
- Identify required capital expenditures.
- Determine annual operational expenditures.

- Identify potential revenue source.
- Identify requirements for data and information to evaluate results.

Plan Documented

- Assemble documentation to communicate during the approval process.

Step 3: Plan Approval Process and Modification

Input Reviewed / Plan Modified

- Communicate documented plan with appropriate stakeholders.
- Adjust or modify the plan based on stakeholder input.
- Recheck alignment to vision, mission, and goals.

Process Approved

- Present plan for approval.
- If approval is not given, take corrective action then repeat Step 3.

Step 4: Implement Decision

Decision Communicated

- Notify all stakeholders.
- Communicate start date and implementation responsibilities.

Decision Implemented

- Facilitate implementation.
- Maintain performance data for evaluation.

Step 5: Evaluate/Improve/Repeat Cycle

Decision Evaluated

- Evaluate results.
- Review sunset provisions.
- Review reports/data required for utilization.
- Evaluate overall decision.
- Confirm the decision is still required.

Repeat Decision Cycle

- Make changes based on evaluation data.
- Repeat the five-step process.

Classification Definitions

Process Owner = RFD

- Accountable and responsible for developing and implementing the decision and using the five-step, decision-making process.

  Minimum Standard: Must meet the decision matrix standards for process steps and stakeholder involvement. Must follow the five-step, decision-making process.

Primary Customer = C

- The Primary Customer is the major recipient of the service or product.

  Minimum Standard: Primary customers must be given opportunities to identify their primary needs through processes that encourage representative participation.

Input Required from this Group = I

- Groups or individuals linked by existing processes across divisions or departments

  Minimum Standard: Must be consulted or given the opportunity to provide input through cross-functional work teams, Quality Improvement Teams (QIT's), or other means to assure alignment and compatibility with existing processes.

Must be Informed = F

- An individual or group that will be affected by the decision or will have to implement the decision.

  Minimum Standard: The individual or group leader must receive the decision in written form.

Must Approve the Decision Process = A

- The individual or group responsible to assure that all process steps leading to the final decision have been carried out consistent with the decision matrix standards.

  Minimum Standard: The individual or group must receive sufficient documentation to determine if the decision standards have been met.

Not Applicable = NA

- There are no key linkages to stakeholder.

- Make recommendation for new textbook adoptions.
- Develop procedures for rental of facilities.
- Develop school based management components.
- Develop and implement staffing model for general education and ESE centers.
- Develop procedures for transfer of personnel.
- Determine safe routes for hazardous area within two-mile zone.
- Develop procedures for security.

District Decision System (Sample)

RFD	Key Decision/ Process	Date for Implementation												
		Jan.	Feb.	March	April	May	June	July	Aug.	Sept.	Oct.	Nov.	Dec.	Sunset Date
Curriculum and Instruction	Recommendation for new textbook adoptions.													
Director of Fixed Assets	Develop procedures for rental of facilities.													
Director of ProEd	Develop school-based management components.													
Operations Team	Develop and implement staffing model for general education and ESE centers.													
Assistant Superintendent for Personnel	Develop procedures for transfer of personnel.													
Institutional Services	Determine safe routes for hazardous area within two-mile zone.													
Chief of Security	Develop procedures for security.													

*Decisions listed are examples only

District Decision System (Sample)

Decision Elements		Stakeholders – Degree of Responsibility / Involvement								
RFD	Key Decision Process	Schools	PTA	District Advisory Committee	PAA	PCTA PESPA	Cabinet	Divisions	School Board	Community
Curriculum and Instruction	Recommendation for new textbook adoptions.	C	I	F	F	F	A	I	A	F
Director of Fixed Assets	Develop procedures for rental of facilities.									
Director of ProEd	Develop school-based management components.									
Operations Team	Develop and implement staffing model for general education and ESE centers.									
Assistant Superintendent for Personnel	Develop procedures for transfer of personnel.									
Institutional Services	Determine safe routes for hazardous area within two-mile zone.									
Chief of Security	Develop procedures for security.									

*Decisions listed are examples only

District Decision System Timeline

RFD	Key Decision Process	Date for Implementation												
		Jan.	Feb.	March	April	May	June	July	Aug.	Sept.	Oct.	Nov.	Dec.	Sunset Date

Key:

RFD=Process Owner

C=Primary Customer

I=Input Required From This Group

F=Must Be Informed

A=Must Approve the Decision Process

NA=Not Applicable

Applying the Baldrige Criteria

Section VI

After an organization has become consciously competent, leadership must provide an atmosphere that will encourage, support, and build upon the new skills of the organization. For many organizations, the structure for this refinement phase of the transformation makes use of the Malcolm Baldrige Quality Criteria. The Baldrige Criteria that form the basis of the National Quality Award are used by many organizations as an internal self-assessment system.

Just how good are our schools and how do we determine the criteria for judging? Are there valid criteria and assessment processes for making legitimate comparisons? How does one school district specifically compare to other school districts or other well-managed, effective organizations.

The need to measure the quality of our schools is essential. Taxpayers or customers need to know that they are receiving value for their tax dollar. Businesses need to know the quality of the available work force, and the community needs to know that the students exiting schools and living in the community are capable of being contributing members of society.

Quantifying the quality of our public schools historically has been very subjective. To date, no one has developed a process to realistically assess and quantify the quality of education provided by a public school district and/or individual school.

The difficulty of developing a valid assessment relates to the number of variables that influence the traditional metrics used to assess school performance. The research indicates that socio-economic status is a powerful predictor for individual student success, and, thereby, the school or school district's success is highly correlated to the demographics of its student population. In summary, students with high socio-economic status score better on standardized metrics than students of low socio-

economic status. Therefore, a school's performance or a district's performance tends to be a reflection of the demographics and not necessarily the quality of the process of education.

Because we can't control SES, we can't control the academic variability of the student population within schools or school districts. If we can't control SES then how can we fairly assess the quality of the education process? In essence, how can we level the playing field to assess quality in light of what we know about the influence of SES and other demographic factors on standard measures of student performance?

This challenge is similar to the challenge faced by the Department of Commerce, National Institute of Standards and Technology (NIST) as their resources examined how to assess the quality of organizations competing in the Malcolm Baldrige National Quality Award.

NIST had to develop a process and criteria to assess quality for large and small manufacturing and service organizations. The challenge was to make legitimate other organization comparisons among organizations that manufacture goods or provide services in a variety of areas and are of various sizes. From this challenge has evolved the process and criteria for the Malcolm Baldrige National Quality Award.

The Baldrige Award process and criteria has direct applications to education. Using this process and criteria, we can make legitimate comparisons between districts and individual schools. This method of assessment of quality has the potential to level the playing field and provide common comparative criteria that are accepted in the business community. These common criteria provide not only a quality assessment but also a communication linkage to our business partners. The open communication linkage provides opportunities to effectively utilize technical assistance from the business community concerning improving quality. The Malcolm Baldrige criteria and process examine the quality of an organization through the assessment of the following seven categories:

Baldrige Award Criteria

1. ***Leadership***

   Leaders are responsible for clarifying and guiding the school's purpose and for implementing quality values (e.g., Systems Thinking, Management by Data, and Continual Improvement). The Leadership Category examines how visible the

leaders are in reinforcing these values and in personally participating in creating strategies, systems, and methods for improving quality.

2. ***Information and Analysis***
   The Information and Analysis Category includes the scope, management, comparison, analysis, and validity of data and information used to pursue excellence and improve performance.

3. ***Strategic Quality Planning***
   The Strategic Quality Planning Category examines the planning process, how plans are communicated, and how all requirements are integrated into overall planning. Also examined are short-term and long-term plans and how plans are put into practice.

4. ***Human Resource Excellence***
   The Human Resource Excellence Category describes the development of the staff and how its full potential is realized. Also examined are the efforts to build and maintain an environment conducive to full participation, personal and professional growth, and recognition for continual improvement.

5. ***Management of Quality Processes***
   The Management of Quality Processes Category describes the systematic processes used to improve performance. Examined are the methods used to design, manage, assess, and continually improve programs, learning processes, business processes, support services, and supplier quality.

6. ***Quality and Operational Results***
   The Quality and Operational Results Category describes the current levels of performance and improvement trends. The results are examined in the areas of quality learning, overall operational performance, business process and support services, and supplier quality.

7. ***Customer Focus and Satisfaction***
   The Customer Focus and Satisfaction Category describes the relationships with customers (parents, teachers, community, students, etc.), and knowledge of and responsiveness to customer requirements. Examined are processes and methods to determine customer satisfaction, commitments to promote trust and confidence, and analysis of current levels and trends.

The Malcolm Baldrige assessment process has the capability of providing a third-party quality assessment. The process generates a numerical score for each of the categories that is then validated by a site visit by the scoring examiners. The categorical scores and total score provide a valid assessment of the quality of the organization being assessed. These scores are comparable not only between schools or districts but also are comparable to other organizations. Not only does this provide an overall quality rating for the organization, but it also serves as a diagnostic tool for the organization as the organization works on quality improvement. The individual categories provide an excellent structure for the organizations to plan developmental activities. The Malcolm Baldrige assessment process is a proven world-class system that will provide a valid assessment of the quality of a school district or individual school.

Many larger organizations have adopted the criteria as their internal evaluation system holding divisions or departments accountable for showing growth in the seven categories. Throughout the refinement stage, the organization is striving to build more and more complex integrated systems. These criteria provide the organization the guidance to develop a mature, highly-integrated quality system.

Superintendent's Quality Challenge

Pinellas County Schools has intensified its application of quality management principles to transform education Envisioned as a pivotal component of this journey is the Superintendent's Quality Challenge. This recognition process, initiated in August 1994, is patterned after the validated and widely accepted criteria of the Malcolm Baldrige National Quality Award and the Florida Governor's Sterling Award. The Superintendent's Quality Challenge in Pinellas County creates a highly supportive and collaborative framework whereby all Pinellas County Schools' employees may feel comfortable integrating quality principles to their ways of work.

Purpose

The goal of the Superintendent's Quality Challenge is twofold. Its first goal is to recognize and commend schools and departments where teachers and administrators demonstrate that they have internalized quality principles and the values that drive them. The second goal is to guide quality-focused efforts that use the Superintendent's Quality Challenge assessment antenna's compass points for schools and departments to establish baselines and standards for continual improvement.

Development

The implementation of a Baldrige-based assessment system requires the development of school-specific assessment processes and assistance in the interpretation of the Baldrige standards for schools. This requires the development of specific assessment instruments for schools based on the Baldrige standards. Training is required for piloting the process. Piloting the process requires the training of school-based personnel to conduct the internal assessment. Third-party examiners must be recruited and trained to score and validate the assessment. After successful piloting, this process can be deployed to individual schools and school districts.

Recognizing the need to use quality criteria to guide the transformation, the Pinellas County district employed many strategies to accomplish its aims. A cross-functional team of experts, from community, business, health care, university, and K-12 education, worked for over a year to research existing quality criteria currently in use. The Baldrige and similar state quality systems were examined.

The team was determined to provide the district with a tool that could be used to help schools to determine what actions were needed to create a quality system. The Baldrige and other state criteria were comprehensive but seemed useful only to those who already had a strong background in quality. The terminology was unfamiliar to educators. The team approached this the matter as a curriculum problem. It reasoned that it must develop materials that would grow with the users knowledge-base. Planners knew that a developmentally appropriate set of quality materials had to be used throughout the organization. This was no different than a new science curriculum. Educators are trained to do this; our business counterparts were not.

The resulting challenge materials received national attention by educators and business, as well. The group also wanted to move away from the mindset of a competition for awards, so the structure is challenged-based and stresses self-assessment.

There are three levels of challenge self-assessment tools: *Challenge One*—a questionnaire, *Challenge Two*—a quality continuum, and *Challenge Three*—a written application and third party examination. All may be used to identify current levels and give a snapshot of a school or division as it operates. There are no right answers to these assessments. The categories and items are a self-assessment of the kinds of systems and approaches that each school or division must develop as it responds to the challenge of implementing quality throughout a school. Although the continuum

may give hints, tools, or suggested sources and possibilities, the challenge process stops short of prescribing how to develop a quality school or division as many different approaches can lead to quality results.

The district has accepted applications, made selections, and trained over 100 examiner/consultants in the same kind of training that is used by Baldrige examiners at the national level. Half are from local business and community organizations. All are certified to work directly with the schools as consultants and are available to do site visitations and scoring for *Challenge Three*. Participants in the training have been impressed with the respect for the schools that has grown from a deeper understanding of the educational system.

Pinellas superintendent, Dr. J. Howard Hinesley signaled strong commitment to the Superintendent's Quality Challenge process during its kickoff on August 10, 1994 at the Superintendent's Quality Conference. The conference was a fullday of keynote speakers and concurrent sessions showcasing quality issues and their impact on students in classrooms and throughout the district. It was attended by the School Board, central administration, community leaders and school teams of principals, teachers, and parents. The conference was funded by AT&T Paradyne.

Process

The process ia designed for participation by schools and departments no matter where they are along the quality journey. The Challenge's strength lies in its supportive orientation. Every Pinellas County School site can conceivably use the resources available through the Challenge application/assessment as guideposts to speed its quality journey.

- Schools/sites work with technical support groups composed of trained consultants to complete the application/self-assessment.
- Baldrige Award and Blueprint 2000 criteria are used to assess a school/department's application of quality principles.
- Schools/sites complete a written application and self-assessment.
- Specially trained internal and external quality professionals review applications and offer consultations based upon assessment results.
- Schools/sites celebrate their progress at a May event.

"Hometown School": A School Culture Based on Quality Criteria

Note: This is a hypothetical school that would earn a score of between 400 and 500 points of the 1000 points possible if assessed by the Baldrige Criteria.

Leadership

In Hometown School all school administrators are directly, visibly, and actively involved in quality-related activities. School administrators are accessible to or have routine contact with teachers, students, parents, and community. The school's policy is that quality improvement is the number one priority and the key to success. Effective strategies are used to involve all teachers and administrators in quality. School leadership is committed to long-term quality improvement goals and to many quality improvement projects with only long-term payoffs. Ownership of the quality effort is evident, reinforced, and assessed in all classrooms across the entire school. Accountability for improving systems, processes, learning, and service exists throughout the school. School administrators communicate the school's quality vision and values.

Actions across the school reflect quality values. All teachers and students understand the quality values. The environment created by teachers and administrators results in pride in work and trust in administrators, teachers, and students. Commitment to quality is evident throughout the school. Belief in continual improvement permeates the school. The extent to which quality values have been adopted throughout the school is evaluated and improved on a routine basis. Administrators provide significant resources (time, staffing, and dollars) that are necessary to improve quality throughout the school. Plans exist for future allocations. School administrators ensure open communication (vertically and horizontally), information sharing, and cooperation across classrooms.

The culture of Hometown school culture discourages suboptimization. Teachers ensure school excellence through cooperation. Teachers systematically reward and recognize students for quality values or performance. The long-term effectiveness of the system has been evaluated and improved and is widely supported by teachers and students. Teachers evaluate operational performance improvement of all classrooms against goals and support corrective action plans for all classrooms. School administrators have gained broad-based teacher support and participation. Many teachers and students manage their own learning and classroom and school processes. Quality

policies reflect commitment to public health and safety, environmental protection, and ethical conduct. Improvement efforts across the entire school reflect this commitment.

Information and Analysis

A formal process is used in Hometown School to develop instructional and non-instructional process measures that are integrated and aligned with and support district state and national measures. Detailed instructional and non-instructional measures have been established for all operations. Data are collected at all levels and used by teachers and students in all areas for assessing progress and to aid in decision making related to the teaching and learning process. District or state measures are aligned to the school's goals and objectives for mission performance. Instructional and non-instructional measures are aligned and integrated with and support district, state, and national measures. Comprehensive quality, timeliness, and performance data are available for all instructional, as well as most non-instructional processes. Information is collected from students, parents, and community.

Processes and technologies are used across Hometown School to ensure that the data collected are complete, timely, accurate, valid, useful and available to all administrators, teachers, and students in need of it. Data cycle time and access are continuously improving. Administrators, teachers, and students across the entire school analyze data and translate it into actionable information to support continuous quality improvement. The school is analyzed to determine priorities for benchmarking. Comparative data are collected from recognized leaders in the field for most instructional and non-instructional processes. Improvements are made to the benchmarking process.

Strategic Quality Planning

Operational and strategic goals and plans for quality improvement are central to mission, vision, and values of Hometown School and are established for the school and all classrooms and departments. Goals require the school, departments, and classrooms to "stretch." Operational plans with clear measurable details are in place for quality improvement for all school levels and link with the strategic plan. A formal consistent process is used across the school to develop strategic quality plans and quality improvement goals. The process has been improved systemically for several years. A broad base of teachers, students, parents, and community members participate fully in the planning process. Extensive quality data, information, and analyses (customer requirements, process capabilities, supplier data, and benchmark data) are used in planning throughout the school.

Human Resource Development and Management

An innovative and effective strategy for involving and empowering the entire staff and students of Hometown School is used. The environment supports teacher and student contributions and teamwork, and builds upon solid trust and respect that already exist among the principal, teachers, and students. Plans address how to sustain teacher and student involvement momentum and enthusiasm. Effective and innovative approaches are used to enhance teacher and student empowerment. Individuals and teams feel a strong sense of ownership of classroom and school instructional and non-instructional processes, and quality improvement throughout the school. Authority, recognition, information, and knowledge are moved to the lowest feasible levels across the entire school. Effective and innovative means are employed across the entire school to involve the staff and students fully in quality improvement and classroom and school instructional and non-instructional process improvement. There have been strong positive trends for the last three to six years for individual and team involvement for teachers and students.

The school has implemented a systemic, documented education and training strategy across the school that supports quality objectives. The strategy is fully integrated into school-wide strategic quality plans. The education and training strategy is based on a comprehensive, systemic needs analysis conducted across the school. The process is reviewed and improved systemically. Nearly all teachers understand quality tools and receive advanced quality training in support of the school's quality goals and continual improvement. Many teachers possess significant expertise and teach quality tools to other teachers and to students. The effectiveness of quality education and training at Hometown School is evaluated systemically and three-to-six year improvement trends are documented. A formal process is used to evaluate, recognize, and reward teacher and student contributions to quality improvement. The process is evaluated and improved continuously and three-to-six year improvement trends are documented.

The recognition system is tied to the organization's quality goals and objectives. It is broad-based, innovative, includes peer recognition, and encompasses all levels of the school. The principal and teachers personally, regularly, and visibly recognize individual teachers and/or students as well as teams of teachers and/or students for their contributions to quality improvement. There is substantial and widespread emphasis on recognition of teamwork. Teachers and students across the school participate in the design and improvement of the recognition system and most value it. There are consistently favorable trends regarding the percentage of teachers and students recognized for team and individual contributions. Three-to-six year improvement trends are documented.

Management of Process Quality

New and improved instructional and non-instructional processes are designed to meet or exceed requirements of teachers, students, parents, or community members. Methods of process optimization are used routinely throughout the school. Appropriate analytic tools are used extensively to identify and solve problems that disrupt instructional or non-instructional processes. The use of analytic tools helps reduce the statistical variability of the processes. Processes are controlled across the school to meet design plans and teacher, student, parent, or community member requirements. Processes are in place to verify that improvements produce the desired results throughout the school. Process changes are communicated to all relevant staff across the school. Methods to assure quality of key instructional and non-instructional processes emphasize prevention, not detection, throughout the school. A systemic process to verify that improvements produce desired results is used throughout the school. Requirements for business support processes are routinely defined by teachers throughout the school, and all have developed procedures for teacher feedback. Business and support services have taken steps to improve processes based on teacher feedback. Assessments of quality, quality systems, and quality practices are performed continually throughout the school. Strong improvement trends over three to six years are documented.

Quality characteristics are well defined, systemically communicated and emphasized to parents and community throughout the school. Prevention-based quality assurance systems are available to all parents and community. Comprehensive assessments of the performance of systems and processes and the quality of instructional and non-instructional processes are routinely performed throughout the school.

Quality and Operational Results

On virtually all measures, the school has shown that it has accomplished its mission and aims with exceptional results over the past six years. Exceptional results (several orders of magnitude) have been achieved in organizational quality, timeliness and productivity over three to six years. Exceptional results have been achieved in formative and summative measures across the entire school for both instructional and non-instructional processes.

Benchmarks of comparative data are collected for all key instructional and non-instructional operations. The school compares favorably in most areas, and, for several areas or processes, the school is the benchmark. Certified supplier quality partnerships are in place for most parents and community relationships. Strong quality improvement trends have been demonstrated for the past three to six years.

Customer Focus and Satisfaction

Various effective and innovative methods are used to obtain knowledge of parent and community requirements or expectations of important quality features for all instructional and non-instructional processes. Improvements have been made over several years. Effective systems are in place for all instructional and non-instructional processes linking the feedback of staff, administrators, teachers, students, parents, and the community to groups that can act on the information.

Data from all customer feedback about the quality of instructional and non-instructional processes they receive is used in all areas of the school to take corrective action. Results are monitored by management and school improvement teams. Service standards for most instructional and non-instructional processes are aimed at exceeding the expectations of staff, administrators, teachers, students, parents, and the community. Performance is tracked by both leadership and improvement teams to ensure service standards are met and consistently improved.

All administrators, teachers, and students are aware of internal and external customer needs or expectations, and understand and fulfill customer service standards consistently. Systematic customer interface practices are used across the school. A formal process exists where teachers and students integrate their findings with instructional and non-instructional components. Processes are reviewed and improved regularly. The school evaluates and improves the effectiveness of all customer interaction processes, school to community, principal to teacher, teacher to student, etc.

Customer satisfaction shows exceptional results over the past years and is the benchmark for the district. The Hometown School is considered the benchmark for most indicators. All areas of the school have developed increasingly rigorous commitments to students, parents, and community concerning instructional and non-instructional quality and effectively communicate these commitments to them. Customer satisfaction comparison or benchmark data are collected systematically for similar providers such as private schools.

Appendix A

Superintendent's Quality Challenge
Challenge One
Quality Assessment Questionnaire

Appendix B

Superintendent's Quality Challenge
Challenge Two
Quality Continuum

Appendix C

Superintendent's Quality Challenge
Challenge Three
Quality Challenge Criteria

Superintendent's Quality Challenge

Appendix A

Challenge One Quality Assessment Questionnaire

Briefly answer each question in the space provided or attach additional pages.

1. Leadership

Mission/Vision

How is the mission statement used?

Improvement Efforts

What role does the leader take in improvement efforts?

Evaluation

What is the basis for individual evaluations?

Resources

What is the extent of the leader's commitment of resources for improvements?

Communication

How does the leader communicate with others?

Collaboration

How does the leader promote cooperation?

Progress

How involved is the leader in evaluating progress?

Networks

To what extent does the leader involve the community?

2. Information and Analysis

Scope

What kind of information is collected?

Management

Who has access to information?

Comparisons
Why are data compared?

Analysis
How is the information interpreted?

3. Strategic Quality Planning

Customer Requirements
What customer needs are considered in planning?

Deployment
How are plans communicated to the staff?

Short-term Goals/Plans

What factors are considered for short-term (one to two years) plans?

Long-term Goals/Plans

How are long-term (three years or more) plans determined?

4. Human Resources Excellence

Planning and Management

How are people developed in the organization?

Involvement

What means are available to contribute to goals and plans?

Training and Education

How is training determined, delivered, and reinforced?

How is training and education evaluated and improved?

Recognition

How does the approach for performance recognition support goals and plans?

Well-being and Satisfaction

How does the approach for performance recognition support goals and plans?

5. Management of Quality Processes

Design and Development

How are programs designed and continually improved?

Learning Process Management

How are programs managed and improved?

Business Process and Support Services Management

How are business processes and support services managed and improved?

Supplier Quality

How is supplier quality assured and improved?

Quality Assessment

How are the quality and performance of systems, processes, programs, and services assessed?

6. Quality and Operational Results

Quality Learning Results

How well do learning results reflect levels of performance and improvement?

Overall Operational Performance

How do operational results (cost per pupil, class size, waste reductions, etc.) reflect levels of performance and improvement?

Business Process and Support Services

How do business process and support services results (accounting, secretarial, maintenance, etc.) reflect levels of performance and improvement?

Supplier Quality Results

How do supplier results reflect levels of performance and improvement?

7. Customer Focus and Satisfaction

Current Customer Expectations

How does the organization determine current customer requirements?

Future Customer Expectations

How does the organization address future requirements and projections?

Relationships with Customers

How are relationships maintained?

How are standards communicated to customer-contact people?

Trust and confidence

How are trust and confidence in services developed and promoted?

Determination

What methods are used to determine customer satisfaction?

Results and Comparisons

How are the customer satisfaction results summarized and compared?

Superintendent's Quality Challenge

Appendix B

Challenge Two
Quality Continuum

Using the Quality Continuum

To self-assess using the continuum, read the lead statement at the top of the page. All of the descriptors complete this statement. For example, in the Leadership category, the lead statement is:

The Leader...

The first selection under Q reads:

has no mission/vision statement.

The entire statement would read:

The Leader has no mission/vision statement.

The descriptors flow horizontally and tie to the question on the left. There are seven stages in columns labeled QUALITY. Choose and fill in the box in front of the stage that best describes your school or division. Repeat this process through each category of the continuum.

Remember that the purpose of the self-assessment is to identify current levels and provide a basis for steps toward improvement.

Leadership 1.0

	Q	U	A
	The Leader...		
MISSION/VISION How is the mission statement used?	❑ has no mission/vision statement	❑ displays a mission/vision that is not widely accepted	❑ is beginning to make decisions guided by the mission/vision statement
IMPROVEMENT EFFORTS What role does the leader take in improvement efforts?	❑ has no evidence of any improvement activity	❑ has limited improvement activities	❑ is beginning to support continual improvement activities
EVALUATION What is the basis for individual evaluations?	❑ seldom evaluates performance and does not base evaluations on standardized indicators	❑ evaluates and recognizes performance based on grading a variety of indicators	❑ evaluates and recognizes performance considering quality objectives but has not formally changed the review process
RESOURCES What is the extent of the leaders commitment for resources for improvement?	❑ initiates no quality improvement activities	❑ allocates no resources to initiate quality improvement	❑ allocates few resources to initiate quality improvement
COMMUNICATION How does the leader communicate with others?	❑ communicates top-down with no clear organization	❑ communicates from the top, relays information, and determines ways of work	❑ communicates primarily top-down with some acceptance of input from the group
COLLABORATION How does the leader promote cooperation?	❑ accepts no dialogue across grade levels and departments	❑ accepts little dialogue across grade levels and departments	❑ is beginning to encourage cooperation across grade levels and departments
PROGRESS How involved is the leader in evaluating progress?	❑ evaluates performance without considering quality goals	❑ evaluates performance against quality goals once a year	❑ evaluates performance and progress against quality goals at scheduled intervals; areas of poor performance are addressed
NETWORKS To what extent does the leader involve the community?	❑ does not interact or communicate with groups outside of school	❑ interacts and communicates on a limited basis with outside groups	❑ is beginning to meet a few times with school and community to communicate mission and goals

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L	I	T	Y
❑ makes some decisions guided by the mission/vision statement, but does not clearly communicate the vision	❑ clearly communicates the mission/vision statement and uses the statement to guide many decisions	❑ clearly communicates commitment to the mission/vision statement and most decisions reflect the mission	❑ clearly communicates commitment to the mission/vision statement; all operational decisions and priorities are guided by the vision
❑ supports and encourages some quality improvement efforts	❑ actively supports and advocates many quality improvement efforts	❑ personally and visibly supports quality improvement activities	❑ personally monitors and actively facilitates quality improvement activities
❑ initiates changes in the review process and begins to evaluate and recognize performance reflecting quality objectives	❑ assesses performance and often recognizes contributions toward quality objectives	❑ assesses performance and consistently recognizes contributions toward quality objectives	❑ monitors a system where individuals are accountable for assessing and continually improving programs and systems
❑ allocates some resources to initiate quality improvement	❑ advocates and supports the allocation of many resources (e.g., time, training, dollars) toward quality improvement	❑ consistently recognizes quality improvement as a top priority (e.g., time, training, dollars) and invests resources accordingly	❑ personally monitors that necessary resources are invested for continual quality improvement activities throughout the organization
❑ communicates usually two-way with some acceptance of input from the group	❑ communicates two-ways generally incorporating input into decisions	❑ solicits input and incorporates input into decisions on a consistent basis	❑ communication is open (horizontally and vertically) and decisions are based on input from all involved
❑ encourages cooperation across grade levels and departments and occasionally shares information	❑ advocates cooperation among grade levels and departments and fosters an atmosphere where teamwork is encouraged	❑ personally and visibly facilitates cooperation and teamwork across grade levels and departments	❑ monitors a system where people and units achieve quality goals through cooperation and information sharing
❑ evaluates performance and improvement against quality goals; supports and encourages teamwork and improvement activities	❑ evaluates performance and improvement against quality goals; supports and encourages continual improvement activities	❑ evaluates performance and improvements against quality goals and advocates improvement activities	❑ personally reviews progress toward quality goals, facilitates broad-based participation and supports individual management of work
❑ primarily meets with school and community groups to communicate quality values with some acceptance of input	❑ often meets with school, community and business groups to establish communication systems that link the school and community	❑ manages communication networks for sharing and exchanging with national, state, community, and business organizations	❑ uses quality processes and activities to contribute to continual improvement of education through involvement with national, state, community, and business organizations

Information and Analysis 2.0

	Q	U	A
	Information and Analysis is...		
SCOPE What kind of information is collected?	❑ not collected	❑ inappropriate and not guided by consistent criteria	❑ beginning to relate to some quality goals but is inadequate and based on inconsistent criteria
MANAGEMENT Who has access to information?	❑ unavailable	❑ gathered but unavailable	❑ gathered and distributed to a few people responsible for decision making
COMPARISONS Why is data compared?	❑ not compared from within or outside the organization	❑ compared on a limited basis to report results	❑ compared primarily to evaluate performance and beginning to be used to develop plans and goals
ANALYSIS How is the information interpreted?	❑ not analyzed or reviewed	❑ reviewed but not used	❑ beginning to be analyzed to evaluate performance

L	I	T	Y
❑ usually related to quality goals and sometimes based on adequate and consistent criteria	❑ generally related to quality objectives with established criteria based on customer requirements	❑ appropriate to monitor most quality and operational goals, statistically reliable, based on consistent criteria, and customer requirements	❑ appropriate to monitor all quality and operational goals, guided by consistent statistically reliable customer-related criteria
❑ gathered and made available to some people responsible for decision making	❑ generally accurate and accessible to those people requiring data for decision making and day-to-day management	❑ accurate, useful, and readily accessible to most people requiring data for process improvement plans and day-to-day management	❑ complete, timely, accurate, useful, and readily accessible to all those requiring data for decision making and is aligned with process improvement plans
❑ compared to evaluate operational performance, sometimes used to develop plans and goals; some benchmarks are identified	❑ regularly compared to improve quality and operational performance; key benchmark data and information is used to initiate improvements	❑ consistently compared to key benchmarks to support improvement of quality and operational performance	❑ always compared to recognized exemplary external standards, criteria, and world-class benchmarks to support improvement of quality and overall operational performance
❑ sometimes analyzed to evaluate performance and cost data and to develop plans for improvement	❑ regularly analyzed to determine customer, performance, and cost-related trends and correlations to support decision making and planning	❑ consistently analyzed and combined with other key data and analyses to support decision making and planning	❑ analyzed to promptly extract customer, operational, and cost information to review or improve actions, plans, processes, and systems

	Q	U	A
	The Strategic Quality Planning process...		
CUSTOMER REQUIREMENTS What customer needs are considered in planning?	❑ conducts no assessment of needs	❑ conducts needs assessments with a limited number of customers	❑ begins to consider need assessment data from customers in planning efforts
DEPLOYMENT How are plans communicated to the staff?	❑ does not communicate plans	❑ initiates but does not communicate plans	❑ begins to communicate plans; few people relate the plans to their own work
	The Strategic Quality Plan...		
SHORT-TERM GOALS/ PLANS What factors are considered for short-term (one to two years) plans?	❑ has no short-term plans	❑ includes short-term plans with no connection to needs assessment information	❑ reflects minimal consideration of needs assessment information in the planning process
LONG-TERM GOALS/PLANS How are long-term (three years or more) plans determined?	❑ has no long-term plans	❑ has no long-term plans documented	❑ includes discussion of long-term plans and goals

❑ **utilizes some needs assessment information from the school community in planning efforts**	❑ **identifies customer needs and evaluates performance and generally uses results to develop short- and long-term quality plans**	❑ **utilizes formal systems to identify customer needs and performance progress and uses data most of the time to develop short- and long-term quality plans**	❑ **bases short- and long-term planning on extensive quality data, information and analyses (customer requirements, process capabilities, supplier data, and benchmark data)**
❑ communicates plans with some requirements to all work teams, and some people can describe how the goals and plans relate to their work	❑ deploys overall plan requirements to all work teams, and many people can describe how the goals and plans affect their own work	❑ consistently deploys overall plan requirements to all stakeholders, and most people can describe how the goals and plans affect their own work	❑ provides for deployment so that stakeholders at every level can describe how the goals and plans affect their own work; strategies are developed to realign processes to improve quality and operational plans
❑ **utilizes some needs assessment information in developing short-term plans and goals**	❑ **includes many customer requirements, operational performance indicators, and required resources for short-term goals and plans**	❑ **includes and summarizes most key requirements, operational performance indicators, and required resources for short-term goals and plans**	❑ **includes and summarizes all key requirements, operational performance indicators, and required resources for short-term goals and plans**
❑ documents the beginning of a long-term written improvement plan	❑ includes many long-range projections of improvement with some long-term goals and plans	❑ includes most long-term projections of improvement of performance and begins to utilize benchmarks to compare and develop long-term goals and plans	❑ includes long-term projections of improvement of performance using benchmarks to compare progress over time and develop long-term goals and plans

	Q	*U*	*A*
	Human Resource Excellence is evidenced by...		
	Human Resource Excellence is evidenced by...		
PLANNING AND MANAGEMENT **How are people developed in the organization?**	❑ no improvement or new developments of training	❑ limited efforts to develop training	❑ efforts focused on training with a few acuons taken to enhance involvement
INVOLVEMENT What means are available to contribute to goals and plans?	❑ no involvement efforts	❑ an informal employee input procedure as the major vehicle for involvement	❑ a suggestion procedure in place and involved groups to study problems
TRAINING AND EDUCATION **How is training determined, delivered and reinforced?**	❑ no education or training programs	❑ inconsistent education and training based on the leader's discretion and decisions	❑ education and training based on the leader's recommendation with some acceptance of input from the group
How is training and education evaluated and improved?	❑ no evaluations conducted	❑ little information available to measure the effectiveness of training	❑ beginning to consider improvement based on training evaluations
RECOGNITION **How does the approach for performance recognition support goals and plans?**	❑ no recognition of performance	❑ individual performance awards based on opinion	❑ recognition and awards given for performance of individuals but not focused on quality goals and plans
WELL-BEING AND SATISFACTION How is the work environment maintained and trends summarized?	❑ no efforts devoted to well-being and satisfaction	❑ existing services and facilities with little attention devoted to well-being and satisfaction	❑ few services and facilities to support and encourage morale; results of analysis of well-being and satisfaction are inconsistent

L	I	T	Y
❑ some actions taken to enhance teamwork and involvement; some feel their needs and recommendations are equitably represented	❑ many actions taken to increase teamwork and involvement; many feel a sense of ownership in work processes and improvements	❑ systems used to train, educate, and empower the work force to strengthen ownership in the processes and improvements	❑ effective systems, plans, and strategies practiced by a diverse work force of trained, educated, and empowered people who have a strong sense of ownership of all processes and quality
❑ some work teams participating in operations and improvement activities	❑ many problem-solving teams and self-managed work groups actively contributing and recommending system improvements and often receiving feedback	❑ a consistent process that promotes contributions from individuals, problem-solving teams, and self-managed work groups and includes timely feedback	❑ effective and innovative mechanisms that promote contributions to accomplish goals with systems that provide timely, substantive feedback; the summary of trends indicates extensive and effective involvement
❑ education strategies based on leader's recommendations with some input from others and includes training in some quality awareness and problem-solving techniques	❑ educational strategies based on a needs analysis, training in quality awareness, problem-solving, and tools to support continual improvement	❑ education based on comprehensive, systemic needs analysis from those involved and includes training in most areas of quality improvement strategies	❑ education and training strategies based on data from a comprehensive, systemic needs analysis of all involved; the process is advanced in quality techniques and is systemically delivered, refined, and improved
❑ some training evaluated on effectiveness and improvement plans based on results	❑ regular evaluations of the effectiveness of quality education and training indicating improvement; plans are made based on the results	❑ an effective process that evaluates, documents, and improves training; trends document improvement in most areas	❑ an effective system that evaluates and improves training and education; trends document improvement in all areas
❑ recognition for some individuals and teams for their contribution of continual improvement of quality and operational goals and plans	❑ a process that often recognizes individuals and teams for their contributions and performance to the quality and operational goals and plans	❑ a broad-based system that consistently recognizes individuals and teams for their performance and contributions to the quality and operational goals and plans; peer recognition is included	❑ an inclusive, innovative performance and recognition system that supports the quality and operational goals and plans; all participate
❑ some special services and facilities to support and encourage activities that contribute to well-being; some survey results, as well as participation rates in relevant programs, indicate some improvement in morale	❑ many special services and facilities, as well as mobility, flexibility, and retraining, support and encourage well-being and satisfaction; analysis of data indicates improvement in morale	❑ an environment that supports special services and facilitates opportunities for growth, individual contributions, and teamwork; trends indicate consistent improvement in well-being and satisfaction measures	❑ an environment conducive to high morale levels, including as essential all elements that support, maintain, and improve well-being and satisfaction; trends document continual improvement for all

Management of Quality Processes 5.0

	Q	U	A
	Management of Quality Process is evidenced by...		
DESIGN/DEVELOPMENT How are programs designed and continually improved?	❑ no improvement or new development of programs	❑ the design of new programs is based on opinions	❑ the design and improvement of programs based on opinions and a few specific needs
LEARNING PROCESS MANAGEMENT How are programs managed and improved?	❑ maintaining programs as they exist	❑ maintaining programs and only identifying problems that disrupt programs	❑ maintaining programs and only identifying problems through inspection and testing, and beginning to solve problems that disrupt programs
BUSINESS PROCESS AND SUPPORT SERVICES MANAGEMENT How are business processes and support services managed and improved?	❑ maintaining services as they exist	❑ maintaining services and dealing with problems by exception	❑ maintaining services and identifying problems through inspection, and beginning to solve problems that disrupt service
SUPPLIER QUALITY How is supplier quality assured and improved?	❑ accepting supplies as they exist	❑ accepting supplies of materials and services with little effort made to identify problems	❑ beginning to communicate requirements based on problem identification to suppliers
QUALITY ASSESSMENT How are the quality and performance of systems, processes, programs and services assessed?	❑ no assessment of systems, processes, and programs	❑ little assessment of overall performance of programs, processes, and systems	❑ beginning to assess overall performance of programs, processes, and systems for improvement

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L	I	T	Y
❑ some programs designed and improved to meet identified customer requirements	❑ many programs designed and improved to meet identified customer requirements with processes to measure results	❑ consistent design of programs and services that integrate customer requirements and measure key results to improve programs and processes	❑ the design of programs and services that integrate customer requirements and include efficient and effective processes to measure, review, and validate key results to improve processes and programs
❑ managing programs, identifying programs through surveys, inspection and testing, and sometimes analyzing and comparing results for improvement	❑ processes for managing programs and services, analyzing and comparing results to benchmarks for problem identification and continual improvement	❑ a process to manage programs and services that employs an improvement cycle including analyzing results, identifying root causes of variation, and making corrections to achieve improved overall operational performance	❑ a systematic process that employs methods to assure quality of programs and services that emphasize prevention rather than detection and verifies that improvements produce desired results
❑ managing services and identifying problems through surveys and inspection and sometimes comparing results for improvement	❑ processes for managing services, analyzing and comparing results to benchmarks for problem identification and continual improvement	❑ a systemic process that maintains all business processes and support services that employs an improvement cycle including analyzing results, identifying root causes of variation, and making corrections to achieve better quality and improvement	❑ a systemic process that employs methods to assure quality of business processes and support services, that emphasizes prevention rather than detection, and verifies that improvements produce desired results
❑ communicating requirements to parents, community, and business suppliers to achieve improved quality of materials and services	❑ communicating and identifying quality characteristics of materials and services to parents, community, and business suppliers to assure continued improvement	❑ strategies to clearly identify and systemically communicate what is required to parents, community members, and business suppliers to assure continued improvement	❑ well-defined quality characteristics that are systemically communicated to parents, business, and community suppliers to assure exceptional supplier quality levels and a superior supplier ability to meet key customer requirements
❑ the occasional assessment of some systems, programs, and processes for improvement	❑ assessment of performance of systems and processes in many areas; findings are often used to improve systems, processes, programs, and services	❑ assessment of performance of systems and processes in most areas and consistent use of findings to improve operations	❑ comprehensive assessments of systems, processes, programs, and services and efficient integration of findings into all operations

Quality and Operational Results 6.0

	Q	U	A
	When Results are examined...		
QUALITY LEARNING RESULTS How well do learning results reflect levels of performance and improvement?	❑ no results are found	❑ little data to demonstrate improvement is available	❑ learning results are reviewed, and a few important factors are identified
OVERALL OPERATIONAL PERFORMANCE How do operational results (cost per pupil, class size, waste reduction, etc.) reflect levels of performance and improvement?	❑ no results are found	❑ little data to demonstrate improvement is available	❑ operational results are reviewed and a few important factors are identified
BUSINESS SUPPORT AND SUPPORT SERVICES How do business process and support services results (accounting, secretarial, maintenance, etc.) reflect levels of performance and improvement?	❑ no results are found	❑ little data to demonstrate improvement are available	❑ business process and support services results are reviewed and, a few important factors are identified
SUPPLIER QUALITY RESULTS How do supplier results reflect levels of performance and improvement?	❑ no results are found	❑ little data to demonstrate improvement are available	❑ supplier results are reviewed and a few important factors are identified

L	I	T	Y
❑ **learning results for some important quality indicators show improvement over time and sometimes are compared**	❑ **the trends for many key quality indicators show improvement and compare favorably to benchmarks**	❑ **the trends for most key quality indicators show consistent improvement when compared to benchmarks**	❑ **the summary of trends for all measures indicates exceptional results in quality improvement and levels of learning and recognition as a benchmark**
❑ improvements have been achieved in more than one area of operations and sometimes are compared to similar units	❑ the trends for many key quality indicators show improvement in operations and compare favorably to benchmarks	❑ the trends for most key quality indicators show consistent improvement when compared to benchmarks	❑ the summary of trends for all measures indicates exceptional results in productivity, efficiency, and effectiveness in all areas of operational performance and recognition as a benchmark
❑ **business processes and support services results show improvement over time and sometimes are compared to similar units**	❑ **the trends for many key quality indicators show improvement and compare favorably to benchmarks**	❑ **the trends for most key quality indicators show consistent improvement when compared to benchmarks**	❑ **the summary of trends for all measures indicates exceptional results in all areas of business process and support services performance and recognition as a benchmark**
❑ improvements have been achieved in some aspects of supplier quality and results are sometimes compared to similar units	❑ the trends for many key quality indicators show improvement and compare favorably to benchmarks	❑ the trends for most key quality indicators show consistent improvement in supplier quality levels when compared to benchmarks	❑ the summary of trends for all key quality indicators show exceptional supplier quality levels and superior supplier ability to meet key customer requirements

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Customer Focus and Satisfaction 7.0

	Q	U	A
	Customer Focus is evidenced by...		
CURRENT CUSTOMER EXPECTATIONS **How does the organization determine current customer requirements?**	❑ no collection of customer information	❑ minimal collection of information to determine current customer needs	❑ few surveys or reports that begin to determine needs
FUTURE CUSTOMER EXPECTATIONS **How does the organization address future requirements and projections?**	❑ no collection of customer information	❑ minimal collection of customer information to determine future needs	❑ beginning to consider input from customers and to discuss future needs
RELATIONSHIPS WITH CUSTOMERS **How are relationships maintained?**	❑ no response to complaints	❑ responding to complaints on a limited basis	❑ beginning to consider comments and to respond to complaints
How are standards communicated to customer-contact people?	❑ no available standards	❑ limited standards that are not communicated	❑ beginning to communicate a few standards to guide interactions with customers
TRUST AND CONFIDENCE **How are trust and confidence in services developed and promoted?**	❑ no apparent commitment	❑ limited relationships with customers	❑ beginning to consider plans to develop relationships with customers
DETERMINATION What methods are used to determine customer satisfaction?	❑ no methods of collection of information	❑ minimal collection of information to determine satisfaction	❑ a few surveys or reports reflecting levels of satisfaction
RESULTS AND COMPARISONS **How are the customer satisfaction results summarized and compared?**	❑ no review of results	❑ limited review of surveys to discover problems	❑ beginning to consider the results and reacting to customer complaints

L	I	T	Y
❑ some surveys or other communication to identify some customer requirements	❑ regular surveys and a variety of other methods to obtain current knowledge of many customer requirements	❑ consistent and effective systems to obtain current knowledge of multiple customer requirements and expectations, and a process to determine specific service features and their relative importance	❑ systemic, extensive, effective and innovative methods to obtain current knowledge of multiple customer requirements, a process to determine specific service features and their importance, and a cross-comparison with other information to support the determination
❑ some surveys and other communication to obtain input from customers used to project future needs	❑ regular surveys and a variety of other methods to obtain input from customers to project future requirements	❑ consistent and effective systems to obtain input from multiple customers to project future requirements	❑ monitoring systems in place to examine technological, economic, societal, and demographic factors to project impact on future customer requirements
❑ actions taken to handle and respond to complaints and comments	❑ processes to provide access to customers seeking assistance and resolutions to complaints and comments	❑ processes to provide easy access enabling customers to seek assistance, comment or complain, and accomplish the resolution of most problems	❑ processes for all customers to express their degree of satisfaction, resolve problems promptly and effectively, and maintain easy access to enable customers to seek assistance
❑ some established standards to guide interactions with customers	❑ established standards that are often communicated and training generally provided for customer-contact people	❑ consistently communicating clear standards and providing training for most customer-contact people	❑ a formal process to communicate clear, exemplary standards and training of empowered customer-contact people who have a consistent understanding of what actions are appropriate
❑ some actions taken to strengthen relationships with customers	❑ commitments developed to many customers concerning educational outcomes and continual improvement of service	❑ commitments developed to most customers concerning educational outcomes and continual improvement and effectively communicating these commitments to customers	❑ rigorous commitments to customers concerning educational outcomes and continual improvement of service and by effectively communicating these commitments to all customers
❑ some surveys and other communication gathered and sometimes analyzed to develop plans for improvement	❑ regular surveys and a variety of other methods to gather information to compare with similar providers for continual improvement	❑ surveys, focus groups, interviews, and other methods capture key information to compare with exemplary standards, analyzed together with customer dissatisfaction information for continual improvement	❑ systematic, effective, and innovative methods to capture key information to compare with exemplary external world-class benchmarks to support continual improvement
❑ analyzing results to determine improvements in the level of customer satisfaction or dissatisfaction	❑ summarizing trends for most indicators of satisfaction or dissatisfaction from multiple customers and comparing those results with providers of comparable services	❑ summarizing trends in key indicators showing excellent results when compared to benchmark data	❑ summarizing trends in key indicators showing exceptional results when compared to benchmark data and recognition as a benchmark by similar providers

Superintendent's Quality Challenge

Challenge Three
Quality Challenge Criteria

Appendix C

1.0 Leadership

The Leadership category examines how the staff, principal, and school leaders create and sustain clear and visible quality values, along with an administrative system, to guide all activities of the school toward educational excellence. Also examined are the administrators' and the school's quality leadership and commitment to cooperative structures and how the school integrates its quality values and practices into the community.

1.1 Top Leadership

Examine administrative leaders (the principal and those reporting directly to that official) and their personal involvement and visibility in developing and maintaining a customer focus and an environment based on continual improvement toward educational excellence.

1. Examine how top administrators are personally visible in efforts to learn how to apply continual improvement concepts to meeting educational standards.

2. Examine how top administrators personally promote, review, and communicate progress toward educational standards on a regular basis.

3. Examine how top administrators regularly meet with all school and community groups to communicate mission and goals.

4. Examine how top administrators are involved in recognizing everyone's contribution toward the continual improvement of education.

5. Examine how top administrators are leaders in communicating quality values to community, state, national, educational, business, professional, human services, standards, and government organizations.

1.2 Vision

Examine how the concept of a shared vision is developed and maintained by leadership.

1. Examine how leaders involve all stakeholders of the school in the development of the shared vision.
2. Examine how the shared vision is widely distributed and understood by individuals.
3. Examine how the shared vision guides the decision-making priorities of the school.

1.3 Management for Quality

Examine how customer focus and quality improvement principles are integrated into day-to-day leadership, management, and supervision of the school.

1. Examine how leaders know and use quality improvement principles for encouraging and assisting others.
2. Examine how leaders work with other stakeholders as customers and suppliers to define requirements and improve quality.
3. Examine how leaders monitor, on a scheduled basis, the progress of the school quality goals.
4. Examine how individuals and groups not achieving their quality standards get assistance rather than blame.

1.4 Corporate Citizenship

Examine how the school uses its quality policies and activities to contribute to public health, safety, environmental protection, and ethics, and how it provides leadership in external groups.

1. Examine how the school encourages employees/students to interact and share quality awareness with community, state, national, and professional organizations.
2. Examine how school quality efforts contribute to (or lead) other community efforts to coordinate services for the community.
3. Examine how the school takes a leadership role in long-term, systemic, community-based projects, such as environmental protection and recycling which improve quality of life for all citizens.

2.0 Information and Analysis

The Information and Analysis category examines the scope, validity, analysis, management, and use of data and information to drive quality and educational excellence. Also examined is the adequacy of the data, information and analysis to support improvement of the school's customer focus, services, internal operations, management by fact, and prevention-based quality.

2.1 Scope and Management of Quality Data and Information

Describe the school's base of data and information used for planning, day-to-day management, and evaluation of performance. Explain how data and information reliability, timeliness, and access are assured.

1. Describe how decisions about what data to collect are guided by vision, strategic goals, and customer requirements.
2. Describe how the range of indicators measured is adequate to monitor the school's implementation of strategic goals and educational excellence as defined by vision and mission.
3. Describe how the data are made readily available to assist those who need it to make decisions about improving performance.
4. Describe the key methods and key indicators the school uses to evaluate and improve the scope and quality of its data and information.

2.2 Comparisons and Benchmarks

Describe the school's approach to selecting data and information for comparisons and world-class benchmarks to support quality and performance, planning, evaluation, and improvement.

1. Describe how comparison data are selected and used to drive the school's strategic goals.
2. Describe how benchmark data are selected and used to drive the school's strategic goals.
3. Describe the current scope, sources, and uses of benchmarking and comparative data for:
   a. Employee satisfaction
   b. Student performance

c. Community and parent satisfaction

d. Supplier quality

e. Internal operations and business practices

4. Describe the school's system to evaluate and improve the scope, sources, and uses of comparative and benchmark data.

2.3 Analysis and Uses of School-Level Data

Describe how quality, performance-related data, and information are analyzed and used to support the school's overall planning and operational objectives.

1. Describe how data are systematically used for decision making.

2. Describe how:

   a. Customer data are analyzed, reported, and utilized to determine the school's program and key performance indicators.

   b. Operational data are analyzed, reported, and utilized to make improvements in instructional methods, operations, and services.

   c. Cost data are analyzed, reported, and utilized to support strategic goals and overall operational performance.

* Benchmark data refer to processes and results that represent "best practices" and performance world-wide.

3.0 Strategic Planning

The Strategic Planning category examines the school's planning process and how all key quality requirements are integrated into overall planning. Also examined are the school's short-term and long-term plans and how quality and performance requirements are deployed to all staff members.

3.1 Strategic Planning Process

Examine the school's strategic planning process for short-term (1-2 years) and longer-term (3 years or more). Address quality leadership, customer satisfaction, organizational leadership, and performance improvement. Include how this process integrates quality and performance requirements and how the plans are communicated and deployed.

1. Demonstrate that customer requirement data are the basis for strategic planning priorities.
2. Describe how the strategic plan is aligned to vision / mission and strategic quality goals.
3. Describe how strategic plans are implemented. Include the methods used to deploy strategic plan requirements to all stakeholders and suppliers.
4. Describe how the budgeting process allocates resources to key strategies for accomplishing the strategic plan (such as capital expenditures and training).
5. Describe how the school evaluates its strategic planning and plan deployment process.

3.2 Performance Goals and Plans

Describe the school's quality and performance plans and goals for short-term (1-2 years) and longer-term (3 years or more).

1. Relate each strategic goal to valid customer requirements.
2. Describe short- and longer-term performance plans and goals. Include key requirements and how they will be addressed.

4.0 Human Resources Development and Management

The Human Resources Development and Management category examines the key elements of how the school develops and realizes the full potential of the work force to pursue the school's performance objectives. Also examined are the school's efforts to build and maintain an environment for quality excellence conducive to full participation, personal organizational, growth, and cooperative interaction.

4.1 Human Resource Management

Describe how the school's overall human resource development and management plans and practices support its performance plans.

1. Describe how personnel practices, such as recruitment, hiring, career development, and services to employees, support and align to the school's performance goals.

2. Describe how the school integrates labor management agreements with the performance goals.

3. Describe how the school uses employee-related data to analyze and ensure that employees in various demographic groups and employment classifications are all doing well.

4.2 Employee Involvement

Examine the means available for all employees to contribute effectively to meeting the school's performance goals; summarize trends in involvement.

1. Describe how the school has mechanisms to actively encourage employees to contribute to accomplishing its performance goals.

2. Describe how the school gives feedback to employees involved in improving performance.

3. Describe the actions the school takes to increase employee involvement, empowerment, responsibility, and innovation.

4. Describe the key methods and key indicators the school uses to evaluate and improve the extent and effectiveness of involvement and empowerment of all categories and types of employees.

4.3 Employee Education and Training

Describe how the school determines what quality and related education and training is needed by employees and how the school utilizes the knowledge and skills acquired. Summarize the types of quality and related education and training received by employees in all categories.

1. Summarize the principal training goals and how they will improve quality for all categories of employees.

2. Describe how the school assesses needs to determine what education and training are needed for employees to do their work.

3. Summarize education and training received by employees; include for each classification of employee:

   a. Orientation of new employees

   b. Percent of employees receiving training annually

   c. Percent of employees who have received training in quality concepts and skills

   d. Opportunities for education or training for advancement.

4. Describe how the school uses data to improve education and training in quality.

4.4 Employee Recognition and Performance Measurement

Describe how the school's employee performance, recognition, promotion, compensation, and feedback processes support the attainment of the school's performance objectives.

1. Describe how the school recognizes those who contribute actively to accomplishing performance goals.
2. Describe how employees contribute to the development and improvement of the school's performance and recognition approaches.
3. Describe how recognition is aligned to performance goals.
4. Describe how the school performance appraisal system supports the school's performance goals.

4.5 Employee Well-being and Morale

Describe how the school maintains a work environment conducive to the well-being and growth of all employees; summarize trends and measures of well-being and morale.

Results must be reported in Section 6.2 School Operational results.

1. Describe how morale factors such as health, safety, and satisfaction are included in the school's improvement activities.
2. Describe how the school supports and encourages mobility, flexibility, and retraining of employees.
3. Describe how the school supports employees with special programs and facilities such as counseling, recreation, cultural, and non-work related education.
4. Describe how employee satisfaction is determined and integrated for use in quality improvement.

5.0 Process Management

The Process Management category examines the processes the school uses to pursue ever-higher quality and performance. Examined are the key process management quality for all stakeholders and suppliers, continual quality improvement, and quality assessment.

5.1 Design and Introduction of Curriculum, Services, and Activities

Describe how new programs, services, or activities in the school are designed and introduced, and how processes are designed to meet quality requirements and school performance goals.

1. Describe the school process for designing courses and new services to meet changing customer requirements.
2. Describe how quality principles as well as quality standards are incorporated in the design process.
3. Describe how the design process identifies measurements for knowing whether the quality requirements are met.
4. Describe how the design is systemically reviewed and adjusted for process improvement.

5.2 Process Management–Instructional and Service Process

Describe how the school's instructional and service activities are managed so that current quality standards are met, and how quality and performance are continually improved.

1. Describe how the school has clear measurements that are used to assess and improve systems of learning.
2. Describe how all instructional experiences are based on the PDSA improvement cycle including analyzing results, identifying root causes of variation, and making changes for improvement.
3. Describe how all instructional experiences, curriculum, methods, and assessment are aligned to performance goals.

5.3 Support Process Management

Describe how the school's business processes and support services are managed so that current requirements are met, and describe how quality and performance are continually improved.

1. Describe how the school maintains and improves the quality of administrative processes.
2. Describe processes that are in place to direct staff to respond appropriately when products or services do not meet quality standards.
3. Describe how business processes and support services use the PDSA cycle for analyzing results, identifying root causes, and making changes in the systems in which they work.

5.4 Supplier Performance Management

Describe how the school assesses the quality of incoming students and personnel, services provided by the community, and materials and services provided by businesses.

1. Describe how the school communicates to parents and the community what is needed from them to assure student success.
2. Describe how the school has a clear set of strategies for building the capacity of parents and the community to support the work of the school.
3. Describe how the school communicates its quality requirements to business suppliers and universities and has a process to monitor supplier quality.

6.0 Performance Results

The Performance Results category examines the school's performance levels and improvement trends in quality, school operational performance, and supplier quality. Also examined are current quality and performance levels relative to those considered world-class.

6.1 Learning Performance Results

Summarize the school's trends and results in performance for key learning outcomes; compare the school's current performance level with those of world-class benchmarks.

1. Summarize the current levels and trends in performance relative to key learning outcomes as compared to comparable schools.*
2. Summarize the current levels and trends in performance relative to key learning outcomes as compared to world-class benchmarks.*

6.2 School Operational Results

Summarize trends and levels in overall school operational performance, and provide a comparison of school performance with other schools and appropriate benchmarks.

1. Summarize the improvement trend in the school's operational performance level.*
2. Summarize operational performance relative to comparable schools.*
3. Summarize school operational performance relative to world-class benchmarks.*

6.3 Support Process Results

Summarize trends and current levels in quality and performance improvement for business processes and support services.

1. Summarize the improvement trend in the school's business process quality level.*
2. Summarize the improvement trend in the school's business process quality level relative to comparable schools.*
3. Summarize the improvement trend in the school's business process quality level relative to world-class benchmarks.*

6.4 Supplier Performance Results

Summarize trends in quality and current quality levels for suppliers; compare the school's supplier quality with that of other public and private schools and with key benchmarks.

1. Summarize the improvement trend in the skill and ability level of new students coming into the school.*
2. Summarize the improvement trend in the quality of parental involvement in the school. *
3. Summarize the improvement trend in the quality of community services provided to the school and students.*
4. Summarize the improvement trend in the quality of business suppliers (textbook, equipment, training, etc.) to the school.*

* Data required

7.0 Customer Focus and Satisfaction

The Customer Focus and Satisfaction category examines the school's relationships with customers, its knowledge of customer requirements, and the key quality indicators that determine world-class standards. Also examined are the school's methods to determine customer satisfaction, current trends, and levels of satisfaction.

7.1 Customer Expectations and Requirements

Describe how the school assesses the current and future requirements of its various customers and uses information gained to develop strategies and practices to improve customer satisfaction.

1. Describe how the school continually assesses the current needs and expectations of its multiple customers (parents, students, employers, taxpayers, etc.) to understand their most important requirements.

2. Describe how the school addresses the future requirements of its customers.

3. Describe how the school is making plans for the curriculum and programs that will be needed in the future.

7.2 Customer Relationships Management

Describe how the school provides effective management of its relationships with its customers.

1. Describe how the most important factors of building and maintaining customer relationships are determined.

2. Describe how the school provides easy access to enable customers (eg., parents, students, taxpayers, employers, etc.) to seek assistance, comment, or complain, and describe how the school follows up with these customers.

3. Describe how customer service standards are set and communicated to employees.

7.3 Customer Satisfaction Determination

Describe the school's methods for determining student, parent, employer, and community satisfaction, and how these methods are evaluated and improved.

1. Describe how the school uses surveys, focus groups, interviews, and other methods to determine how satisfied students, parents, employers, and other citizens are with its services.

2. Describe the process for aggregating formal and informal complaints for use throughout the school.

3. Describe how the school continually evaluates the effectiveness of its methods for listening to students, parents, employers, and other citizens.

7.4 Customer Satisfaction Results

Summarize the school's customer satisfaction and dissatisfaction results.

Results should be segmented by customer group (eg., parents, students, employers, and citizens).

1. Summarize the improvement trends in customer satisfaction.*

2. Summarize the improvement trends in customer dissatisfaction.*

* Data required

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Glossary

Benchmarking—An improvement process in which a company or organization compares its performance against best-in-class companies or organizations, determines how those companies or organizations achieved their performance levels, and uses the information to improve its own performance. The subjects that can be benchmarked include strategies, products/programs/services, operations, processes, and procedures.

Boundaries—The natural limits of a process, defined as where the process begins and where the process ends.

Common Cause—Predictable, normal, random variation present in every process due to the combination of existing inputs.

Consensus—The collective opinion of a group on the discussion of an issue until all agree and everyone can "live with" the decision.

Constancy of Purpose—The first of Dr. Deming's Fourteen Points. Long-term planning that is based on meeting and exceeding. The allocation of resources, research, and education designed to meet the organization's future needs.

Continual Improvement—Refers to the philosophy whereby every system or process within the organization is subject to continual scrutiny and improvement. Continual improvement is the antithesis of the philosophy which says, "If it ain't broke, don't fix it." Continual improvement requires that "If it ain't broke, it can be made better."

Culture—A prevailing pattern of activities, interactions, norms, sentiments, beliefs, attitudes, values, and products in an organization. The shared experience of a group.

Cultural Change—A change in the values, standards, and daily conduct within an organization.

Customer—Anyone who receives or consumes goods or services. This includes internal customers who consume or receive goods and services produced within the organization.

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Customer Focus—Related to the needs of both internal and external customers. Understanding that meeting or exceeding the needs of the customer must drive the vision of the organization and that all improvement must be customer driven.

Cycle Time—The interval required to complete a task, or function, starting from the beginning of the first step until the completion of the last.

Data—Facts which must be gathered and analyzed for information. Only data gathering and analysis permits one to "speak with facts."

Data Management—The process by which the reliability, timeliness, and accessibility of an organization's data base is assured.

Deployment—The systematic process of introducing an activity or process to all applicable areas of an organization.

Diversity—The characteristic of a workforce which is a result of individual differences among its members. Specific differences may include: gender, workforce minorities, or individual disabilities. Workforce diversity can be a major organizational strength if the knowledge, abilities, and strengths of individual workers are recognized and respected.

Effectiveness—Meeting agreed-upon requirements for supplier inputs and customer outputs.

Efficiency—Minimizing time and/or other resources spent on activities which do not add value.

Employee Involvement—A practice within an organization whereby employees regularly participate in making decisions on how their work is done, including making suggestions for improvement, planning, goal setting, and monitoring performance.

Empowerment—A condition whereby employees have the authority to make decisions and take action on their own without prior approval.

Facilitator—A person knowledgeable in process improvement, problem solving, and group dynamics who assists teams and team leaders by serving as coach, communicator, coordinator, promoter, and teacher as needed.

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Human Resource System—The human resource system develops the empowered human resources to maintain and operate the integrated quality system. This includes training, assessment, recognition, involvement, and internal customer well-being and satisfaction.

Indicator—An identified measure of a process.

Information System—The information system manages the scope, validity, reliability, selection, and maintenance of quality and performance data and information. The system also provides comparative information and benchmarks. The data and information is then used to monitor and improve the integrated systems.

Kaizen—This is the Japanese word for improvement. Kaizen implies more than improvement in basic production processes. Kaizen represents a philosophy whereby an organization, and the individuals within it, undertakes continual improvement of all aspects of organizational life.

Key Performance Indicators—Measurement(s) which determine if the critical success factor was successfully achieved.

Leadership—A leader has an unshakable commitment to quality and helps people do a better job through coaching, facilitating, and by creating environments that support the aim of the organization. The leader understands and supports the constancy of purpose of the organization.

Management by Fact—A key focus of total quality management. Means all employees manage the work they do by collecting objective data and making decisions based on this information.

Measurement—The act or process of measuring in order to compare results with requirements. A quantitative estimate of performance.

Mission—The purpose and focus of an organization. The mission is generally defined in terms or products and services of an organization.

Non-Value Added—Activities or work which do not directly contribute to the product or service meeting the needs of the customer. Such non-value added activities can include storage, transportation, review, appraisal, inspection, rework, etc.

Optimization—A process of orchestrating the efforts of all components toward achievement of the stated aim so everyone gains.

Outputs—Things and information which are the end result of an activity (product, reports, services, information, etc.)

Partnering—The establishment of a long-term relationship between two parties characterized by teamwork and mutual trust, allowing both parties to focus on the needs of a mutual customer or client/constituent. Partners share risks as well as benefits. Partnering arrangements can be with labor, management, employees, suppliers, government, and educational institutions.

PDSA—The continual improvement cycle, or Shewhart Cycle, PLAN, DO, STUDY, ACT. An iterative process that begins with planning an improved process, testing the new process on a small scale, studying the results through the collection of data, taking appropriate action based on the data, then planning the next iteration of improvement. The cycle is repeated indefinitely.

Performance Standard—A goal against which actual performance is measured.

Prevention—A future-oriented approach to quality management which achieves quality improvement through corrective action on a process.

Process Management Systems—The process management system is the system of processes that are designed and delivered to support the quality integrated system.

Problem—An opportunity for improvement or an undesirable condition, often manifested by symptoms, created by root causes that must be systematically identified and eliminated to control the problem.

Procedures—Step-by-step tasks that are necessary to meet standards; a method or manner of proceeding. How to meet standards.

Process—A systematic and defined method of doing something. A process generally involves a number of steps or operations.

Quality Conformance—Conformance to valid requirements that are defined by the customer.

Quality Assessment—The operational techniques and activities used to evaluate the quality of processes, practices, programs, products, and service.

Quality Control—The operational techniques and activities used to ensure that quality standards are met.

Quality Process Tools—Statistical methods capable of producing data to be used in the PLAN or STUDY step of the improvement, PDSA, cycle. The seven simple tools include: flow charting, cause-and-effect diagrams, Pareto analysis, control charts, run charts, histograms, and scatter diagrams. More powerful or advanced techniques, which are useful as planning and design tools, include quality function deployment, (QFD) and process capability analysis.

Quality Values—The principles and beliefs that guide an organization and its people toward the accomplishment of its vision, mission, and quality goals.

Recognition—Appreciation or acknowledgment of a job well done.

Requirements—1) Customers have requirements or needs. If organizations are listening to customers, they will clearly identify customer requirements. The challenge for organizations is to translate these requirements into precise product/service specification. 2) Laws, statutes, rules, procedures, policies, specification, objectives, goals, operating directives, performance standards, etc.

Rework—Repeated work required when a process fails or standards are missed.

Root Cause—The major contribution to nonconformance, the prime cause of a problem. The root cause(s) must be eliminated to assure quality by eliminating or significantly reducing the problem (nonconformance) created by the root cause.

School Improvement Planning System—The strategic planning system coordinates the action required to transform and improve the school through the development of an integrated quality system capable of implementing Blueprint 2000.

Standards—A rule or measure by which a finished product will be measured. A rule established to create a yardstick for measuring or guiding quantity, quality, value, etc. A vehicle for communication.

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Strategies—A strategy is a series of planned and sequenced tasks, which together allow for achievement of the critical success factor. Strategies must be clearly stated, observable, and measurable.

System—A set of well-defined and well-designed processes for meeting the organization's quality and performance requirements.

Tool—An instrument used to perform a task or to display collected data. For example: graphs, charts, diagrams, questionnaires, etc.

Total Quality Management—A systematic customer focused approach to continuous performance improvement. A philosophy and set of guiding principles that represent the foundation for continuously improving the organization through employee involvement. The application of quantitative methods and human resources to improve the materials and services supplied to and by an organization and all the processes within the organization and the degree to which the needs of the customer are met. The integration of fundamental management techniques, existing improvement efforts, and technical tools under a disciplined approach to focus on continuous improvement.

Valid Requirements—Procedures, specifications, plans, or policies that meet the needs of the customer(s) and are current, realistic, understandable, measurable, achievable, and compatible with other requirements. When conformed to, valid requirements yield quality.

Value Added—Activities or work essential to ensure a product or service meets the needs of the customer.

Values—Principles or qualities which are worthwhile and govern the operation of total quality management.

Variation—Periodic or sporadic changes or deviations within a process.

Vision—A clear, positive, forceful statement, usually 25 or fewer words, describing what the organization wants to be in three to five years or more, expressed in simple specific terms.

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